

London Borough of Enfield

General Purposes Committee

20 October 2022

Subject: Corporate Risk Register Update

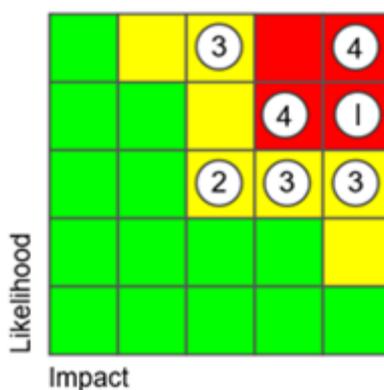
Cabinet Member: Cllr Tim Leaver, Cabinet Member for Finance and Procurement

Executive Director: Ian Davis, Chief Executive

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 3 March 2022, reviews have been carried out by all Departments and by Assurance Board.
- 5 There has been no addition of any new risks.
- 6 With the ongoing economic uncertainty, rising inflation and potential increases in interest rates coupled with the cost-of-living crisis, risk scores for CR01 (Financial Resilience) and CR02 (Income Maximisation) have been increased from 20 to 25. CR06 (Customer Demand) has been increased from 12 to 16.

- 7 There have been significant changes to mitigations, actions, causes and impacts. These changes since the last version of the Corporate Risk Register presented to General Purposes Committee have been [highlighted in blue](#) in **Appendix A**.

Proposal

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

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.

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

Date of report 10 October 2022

Appendices

Appendix A: Corporate Risk Register

Background Papers

None

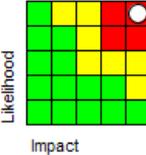
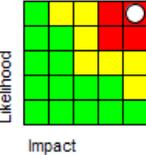
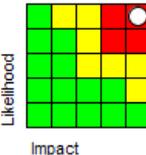
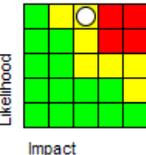
Appendix A - Corporate Risk Register

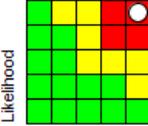
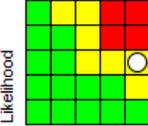
Key:

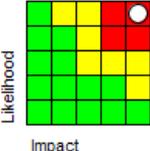
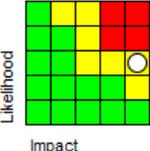
Risk Level	Risk Response	Monitoring
Low	Accept	Six Monthly
Medium	Mitigate	Quarterly
High	Escalate	Monthly

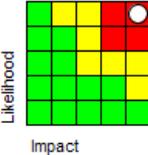
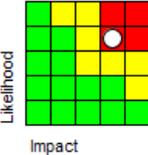
Score	Likelihood	Impact
1	Rare	Insignificant
2	Unlikely	Minor
3	Possible	Moderate
4	Likely	Significant
5	Almost Certain	Critical

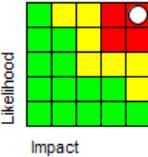
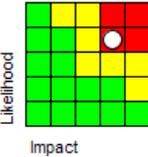
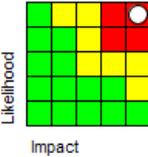
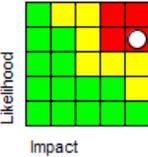
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<p>CR01 Financial resilience The Council's financial position is adversely affected.</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Non-delivery of agreed savings - Robustness of reserves - Economic downturn - Political change - Change to the funding framework - Inflation - Interest rate changes - Tightening of borrowing landscape (e.g. through Minimum Revenue Provision regulation) - Inflation - Missed opportunities on a major project - HRA rent cap <p>Impacts on:</p> <ul style="list-style-type: none"> - Delivery of Council functions 		<ul style="list-style-type: none"> - 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 - Spending controls for staffing costs and Capital Programme introduced with immediate effect 		<ul style="list-style-type: none"> - Ongoing review of adequacy reserves - Fair Funding Review lobbying is ongoing - Deliver the budget savings agreed in February and mitigate inflation pressures for 2022/23 - Budget Pressure Challenge Board's ongoing process - Scenario planning for potential tightening of borrowing landscape - Develop a financial resilience dashboard - Wider budget review programme underway including capital and revenue and recharges 	Resources

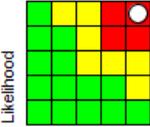
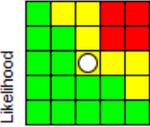
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<ul style="list-style-type: none"> - Meeting the Council's priorities and ambitions - Reputation 					
<p>CR02 Income maximisation Income from council tax, rents, business rates, debt collections, invoices, grants, traded services, and commercial activities is not maximised</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Staff capacity/shortages - Economic downturn - 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 - Cost of living crisis <p>Impacts on:</p> <ul style="list-style-type: none"> - Financial pressures - Inability to deliver services - Restrictions on future aspirations 		<ul style="list-style-type: none"> - Dedicated Commercial team focussed on supporting services on maximising income - Targets and Key Performance Indicators regularly monitored - Benchmarking fees and charges with other local authorities - Commercial pipeline - 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) - Fair Debt and Income Strategy agreed March 2021; monitoring of the delivery of this strategy in place through Board 		<ul style="list-style-type: none"> - Delivering the Payment Programme to make paying easier, more accessible, and efficient - Delivering functionality to issue electronic debt reminder notifications to recover sundry debt - Improve understanding of traded services income and expenditure. - Ongoing development of the debt prevention and recovery strategy - Engagement of Analyse Local to identify new rateable properties in the borough to maximise business rate income - Council tax and business rate income being monitored closely 	Resources
<p>CR03 Fraud & Corruption Council being subjected to an incident of organised or high value fraud, bribery and/or corruption</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Ineffective internal controls 		<ul style="list-style-type: none"> - Fraud awareness training - Whistleblowing policy - Counter fraud strategy and action plan - Reporting to GPC/Assurance Board. Pursue maximum sanctions in line with policy and regulations 		<ul style="list-style-type: none"> - Participation in counter 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 	Resources

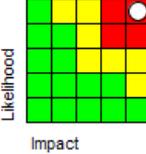
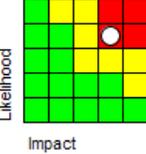
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<ul style="list-style-type: none"> - Ineffective governance arrangements - Lack of staff training and awareness - Poorly defined and undocumented processes - Changes to control environment caused by remote working arrangements <p>Impacts on:</p> <ul style="list-style-type: none"> - Financial loss - Reputation 		<ul style="list-style-type: none"> - Adequately resourced and qualified internal audit and counter fraud service - Annual review of counter policies and procedures - Annual audit plan and implementation of recommendations - Ongoing rigour to ensure that audit actions are implemented in a timely way - The Counter Fraud Operational Plan 2022/23 has been approved by General Purposes Committee - Reactive and proactive reviews 		<p>for the Covid-19 related grants</p> <ul style="list-style-type: none"> - Participating in the London Fraud Hub - Promoting fraud awareness for staff during International Fraud Awareness Week (13 to 19 November 2022) - Delivering a joint online fraud awareness and audit training event for schools. 	
<p>CR04 Data Management Loss, corruption, disclosure, breach or Inefficient utilisation of data</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Inadequate security controls - Poorly defined and undocumented processes - Lack of effective staff training <p>Impacts on:</p> <ul style="list-style-type: none"> - Reputation - Legal action - Financial penalties (due to non-compliance with Data Protection / PCI legislation.) - Increase in customer complaints 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Information Governance Board Terms of Reference now expanded to include Data and renamed Information, Data and Governance Board (IDGB) - 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 monitoring of responses - Regular reminders sent to staff - Cyclical audit of governance arrangement - Data protection training, policies and retention schedule have been 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Communication and implementation of clear desk policy, security measures and access control - Embedding of Information Governance culture and best practice - Communicating procedures for reporting breaches 	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
		reviewed / updated and signed off at IDGB - Privacy notice for Members has been created and published on the website - NHS Data Security and Protection toolkit successfully submitted for 2022/23			
<p>CR05 Duty of Care Failure of statutory and/or safeguarding duties to adults, children, employees, residents and businesses within the Borough</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Staff capacity issues - Pressure within social work team - 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 <p>Impacts on:</p>		<ul style="list-style-type: none"> - Safeguarding procedures - Policies - DBS checks for staff and volunteers - Performance monitoring of contractors/partners - Multi-agency safeguarding hubs - Adults and children's services combined under one department - Internal audit and quality assurance processes - Risk management panel - Complaints & compliments system - Reporting to Assurance Board - Provider concerns & safeguarding information panel - Ongoing review of strategy/policy/procedures - Recruitment of additional senior practice leadership capacity 		<ul style="list-style-type: none"> - Planned programme of audits covering children and adults safeguarding - External inspections (internal controls help to manage and reduce risk, but risk cannot be eliminated from this area of work) - Provider Sustainability Board 	People

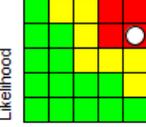
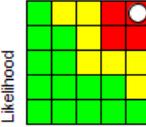
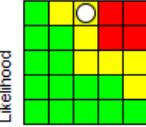
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<ul style="list-style-type: none"> - Harm/distress to individuals or families, - Legal challenges - Reputation - Increase in complaints 					
<p>CR06 Customer Demand Increasing or decreasing demand changes (eg. population, demographics, political, economic etc.)</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Misallocation of resources. - Cost of living crisis <p>Impacts on:</p> <ul style="list-style-type: none"> - 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 - Increase in workload 		<ul style="list-style-type: none"> - Eligibility criteria for services - Making Every Contact Count (MECC) for staff - Services are focussed on early help and enablement to prevent escalation of need - MyLife Portal & Eclipse implementation complete - Development of the Children's Portal (Children's Transformation Programme) - Models of social work practice - Review of Public Health commissioned services - 0-19 health visiting - Smoking cessation - Sexual health - Substance misuse services - New homelessness prevention service model and board - Early help offer - Welfare Debt and Advice Team in place and Floating Housing support 		<ul style="list-style-type: none"> - Predictive analytics used on ongoing basis to shape services - Increasing Special Education Needs (SEN) Places in the borough - Monitor the housing market - Improve self-serve options for customers - Build capacity in customers to resolve issues - New Community Solutions Hub and Project (Customer Experience Programme) addressing demand failure and prevention. - Development of new extra care scheme at Reardon Court - Development of new Mental Health & Wellbeing Hub 	<p>People; Place</p>

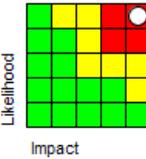
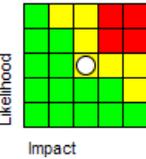
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<p>CR07 Digital Technology Failure of the Council's digital technology</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Cyber-attack - Data breach - Hardware failure - Failing to deliver agreed upgrade programme - Software and hardware falling into obsolescence - Supplier failure <p>Impacts on:</p> <ul style="list-style-type: none"> - Severe disruption of service delivery - Financial costs - Reputational damage (due to an inability to work and communicate) - Inspection outcomes - Ability to meet statutory compliance 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Regular audits - Acceptable use and cyber security policies - Mandatory staff e-learning on acceptable use and cyber security policies - Raised awareness regarding cyber attacks, including simulated tests to measure compliance (e.g. phishing) - Business continuity plan in place and reviewed regularly. - Resilient infrastructure e.g. backups, data servers - Data recovery service in place - Network upgrade - Introduction of new tools to support remote working (Forticlient and Multi Factor Authentication) - Security Assurance Board in place - Cyber Remediation Simulation Test completed - Business Continuity Management (BCM) Board now covering Disaster Recovery - Statutory Compliance certification for PSN, PCI-DSS, NHS, DWP 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Ongoing improvement of the infrastructure Resilience through the delivery of the infrastructure programme. - On going refresh of new devices and ongoing hardware refresh to ensure cyber and technical compliance - Complete the IT restructure and recruitment - Digital contract and supplier management capability to manage supplier relationships effectively. - Delivery of Cyber Remediation Programme - Disaster Recovery Plan review and test programme to be run in 2022/23 	Resources
<p>CR08 Major Incident Failure to respond adequately to a major incident that adversely affects the Council, its residents, or its businesses.</p>	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Business Continuity Management Board meets regularly - Staff training - Adequate insurance in place - Corporate Business Continuity (BC) 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Department & Service Business Continuity Plans are regularly being updated and reviewed - Corporately services and departments have reviewed 	Chief Executives

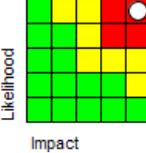
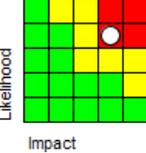
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<p>Caused by:</p> <ul style="list-style-type: none"> - Pandemic - Terrorism - Natural disasters - Flooding - Fire - Riots <p>Impacts on:</p> <ul style="list-style-type: none"> - Significant financial loss - Disruption of services - Harm/distress to vulnerable people - Reputation - Staff absence 		<ul style="list-style-type: none"> - 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 Executive Director People, have completed Multi Agency Gold Incident Commander (MAGIC) training. 		<ul style="list-style-type: none"> - plans in line with lessons learnt from COVID-19 - Tactical Training with the Emergency Planning College will be arranged for all Council Silvers. - Council Gold and Silver meet in response to current risks as appropriate - Organisation wide Corporate Business Continuity exercise carried out (October 2022) – lessons learnt to be reported to EMT 	
<p>CR09 Health & Safety There is an avoidable incident affecting staff or tenants (residential & commercial)</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Not complying with Health & Safety requirements for buildings - Lack of staff training and awareness - Changes due to new flexible working arrangements 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Health and safety procedures - Training / e-learning - Occupational Health provider in place - Highways maintenance plan - Winter maintenance plan - Grounds maintenance plan - Asbestos awareness - Corporate policies and processes in place to effectively manage the Council's operations 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Ensuring works comply with legislation and codes of practice and that contracts are performance managed - Health and safety to be included in decision making when setting budgets for 2023/24 	Place

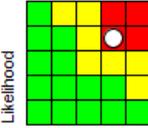
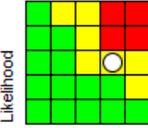
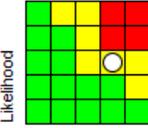
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<p>Impacts on:</p> <ul style="list-style-type: none"> - Injury/death - Legal challenge - Reputation - Fines - Increase in insurance claims - Regulatory enforcement action 		<ul style="list-style-type: none"> - Robust risk management processes 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 in place - 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 Health & Safety Committee every quarter 			
<p>CR10 Housing Failure to deliver the housing strategy and respond to the changing regulatory environment around Council housing delivery</p> <p>Caused by:</p>	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Housing strategy in place, with teams and resources in place to deliver - Continually review policies to keep abreast of current climate and good practice - Housing Strategy published (3,500 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Monitor housing delivery through the Housing Delivery Board - Regular meetings to monitor service delivery capacity among management and Human Resources 	Place

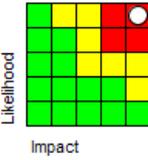
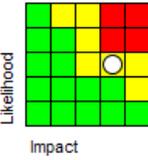
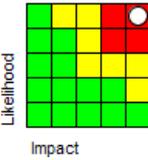
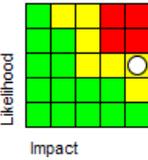
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<ul style="list-style-type: none"> - Affordability (eg. due to government rent cap currently being consulted on) - Construction cost inflation - Poor programme management - Insufficient staff capacity - Economic uncertainty <p>Impacts on:</p> <ul style="list-style-type: none"> - Increasing homelessness and demand on other areas of the Council - Regulatory intervention - Inadequate supply of social and private sector properties within the Borough 		<ul style="list-style-type: none"> council owned homes programme agreed) - Implemented a wider range of options for households at risk of homelessness and/or in Temporary Accommodation (TA) including support on relocation - Chain maximising approaches working alongside new housing allocations to support priority housing needs - Established Developer and Registered Provider forums to promote and support housing delivery in the Borough - Responded to the Homelessness Prevention Grant consultation which proposes a cut in funding at a time of all time high demand 		<ul style="list-style-type: none"> - Horizon scanning 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 - Meridian Two, which is a 100% affordable housing scheme comprised of 274 homes, has been submitted to planning and is currently under consideration - 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 - We will respond to the government's consultation on the rent cap to explain the impacts on our housing strategy - HRA business plan review is under way - Reviewing the future management of TA 	

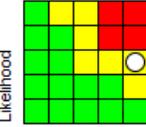
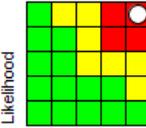
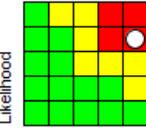
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<p>CR11 Regeneration & Growth Failure to improve and regenerate the Borough agreed objectives and targets through economic regeneration, capital projects (e.g., Meridian Water.) open spaces, parks, and highways</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Affordability - Borrowing cap - Construction cost inflation - Poor programme management - Economic uncertainty - Unexpected/planned increase in interest rates <p>Impacts on:</p> <ul style="list-style-type: none"> - Reputation - Financial loss - Opportunity loss - Negatively impacts on the wellbeing of residents and businesses. - Could lead to Enfield becoming an undesirable location to businesses 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Close attention to recruitment and skills of the Council. - Using independent specialist advisors - Reporting to the Meridian Water Executive Board and the Capital Board - Executive oversight of major schemes - Monthly risk reviews of all major projects - Detailed risk register for Meridian Water in place - Increased capacity and capability of finance support by recruiting a Head of Finance (Meridian Water) - Capital financial controls in place 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Build in-house capacity to deliver GLA capacity funding - Ensure robust procurement controls and contact management by in house staff - Improve risk registers in housing development - Ongoing review of financial models and assumptions and scenario and business case thresholds 	Place
<p>CR12 Supply Chain & Contract Management Failure to effectively commission, procure and manage key contractors or partners</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Inadequate contract management 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - New Contract Procedure Rules (CPR) - Procurement and Commercial Board - Staff training - London Tenders Portal - Single contract register for the Council - Reporting non-compliance to 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Review of Contract Procedure Rules - Review training - Improvement plan to ensure consistent good practice across the organisation - Ongoing review and improvement to the quality of 	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
<ul style="list-style-type: none"> - Lack of staff training - Lack of clear policies and procedures - Non adherence to policies and procedures - Poor procurement practices - Economic uncertainty <p>Impacts on:</p> <ul style="list-style-type: none"> - Unable to deliver key services - Demonstrating value for money - Supplier failure 		<p>General Purposes Committee</p> <ul style="list-style-type: none"> - Performance monitoring - Updated contract management guide has been put on the intranet - Departmental contract boards – now up and running 		<p>the information held on contract register</p> <ul style="list-style-type: none"> - Training strategy to support the upskilling of staff in contract management drafted. Audit completed; implementation of actions ongoing - Supplier resilience programme started in Place - Embedding procurement team restructure 	
<p>CR13 Commercial Ventures The Council’s commercial ventures (Energetik, HGL, Montagu etc.) fail or perform poorly</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Affordability - Poor financial or operational performance of company/joint venture - Inadequate performance monitoring by the Council - Economic uncertainty <p>Impacts on:</p> <ul style="list-style-type: none"> - Reputation - Financial loss - Failure to meet Council objectives 		<ul style="list-style-type: none"> - Line of delegation and reserve matters for the Council’s shareholder decisions - Quarterly reporting of company performance against business plan targets - Annual submission of company business plans - Governance review and action plan in place - Member and officer presence on all company boards - Separate risk registers for the companies have been developed - Regular reporting to Assurance Board - Formalised operational governance arrangements for companies 		<ul style="list-style-type: none"> - Review Public Interest Reports from other authorities and draw up action plans for Enfield. - Review of Service Level Agreement efficiency and effectiveness - State Aid compliance review - Document process for considering Energetik extensions - Expand monitoring to separate HGL business units - Review on-lending agreements to HGL & Energetik 	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
<p>CR14 Staffing Excessive workloads placed on staff and an overreliance on key staff</p> <p>Caused by:</p> <ul style="list-style-type: none"> - If the organisation does not live its values and behaviours - Lack of succession planning - Poor working conditions - Industrial action - Budgetary restrictions <p>Impacts on:</p> <ul style="list-style-type: none"> - Inability to recruit/retain key staff - Increased costs due to agency staff - Increased stress, sickness and absence - Staff wellbeing and performance - Service delivery - Statutory responsibilities - Knowledge loss - Staff morale 		<ul style="list-style-type: none"> - Recruitment and 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 and Selection training for managers is live - Departmental budgets for Continuous Professional Development (CPD) 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 overseas social worker recruitment - Each department runs a Staff Seminar every quarter - Business continuity plans in place for all services 		<ul style="list-style-type: none"> - Technology to support flexible recruitment practises. - The agency reduction plan and targets have been refreshed for the financial year 2022/2023 and continue to be implemented. Regular update and review meetings are taking place with senior officers and the Cabinet Lead for Finance and Procurement to ensure compliance - New apprenticeship strategy and plan has been developed, and will be implemented - 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 - Identify how services might prioritise activities for a significantly reduced workforce - Recruitment strategies in place to fill vacant positions - New applicant tracking system (ATS) will be procured and implemented - Pilot scheme underway to train mental health first aiders across 	<p>Chief Executives</p>

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 Council to support the workforce on mental health related matters	
<p>CR15 Tax The Council accounts for tax incorrectly leading to either loss of tax opportunities or to penalties, fees and charges.</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Complicated commercial arrangements - Regeneration programmes - Complexity of VAT, Corporation Tax and SDLT (Stamp Duty Land Tax) - Lack of awareness by services aware of their responsibilities around tax <p>Impacts on:</p> <ul style="list-style-type: none"> - Hit to revenue - HMRC fines, penalties and charges - Reputation 		<ul style="list-style-type: none"> - A monthly tax meeting takes place. - A plan of improvement is being developed to ensure that VAT in particular is being robustly monitored and the risks are flagged early. - Finance is now involved in most SDLT decision-making conversations - A dedicated mailbox is used to receive and respond to queries 		<ul style="list-style-type: none"> - The Council plans to send out a formal email to all key officers, particularly project managers, about the need to seek tax advice and to ensure the Council acts as tax efficiently as possible - SharePoint repository for tax matters will be created - 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
<p>CR16 Community Cohesion Heightened tensions in the community</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Political events - Significant national or international incidents - Cost of living crisis <p>Impacts on:</p> <ul style="list-style-type: none"> - Violence causing injury or death 		<ul style="list-style-type: none"> - A number of partnership meetings with the police enable a good flow of information sharing to highlight specific risks and provide an opportunity for the Council to contribute as part of wider local partnership- e.g. CCTV - Heightened awareness, targeted projects 		<ul style="list-style-type: none"> - Development of pan London protocols to deal with unlicensed events - Targeted outreach, information sharing and a number of strategies including Community Safety Partnership 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
<ul style="list-style-type: none"> - Financial loss - Property damage - Reputational damage 					
<p>CR17 Climate Change Climate change and severe weather events</p> <p>Caused by:</p> <ul style="list-style-type: none"> - The Council not meeting its targets published in the Climate Action Plan <p>Impacts on:</p> <ul style="list-style-type: none"> - Disruption to delivery of services - Financial costs - Reputational damage - Legal action - Wellbeing consequences 		<ul style="list-style-type: none"> - 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 and annual review underway 		<ul style="list-style-type: none"> - Climate change risk reporting for the Pension Fund - Cost and prioritise climate actions to be delivered through departments 	Place
<p>CR18 Equality, Diversity, and Inclusion The Council does not meet its targets set out in the Fairer Enfield Policy 2021-25</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Lack of training - Unclear policies and procedures - Lack of awareness of responsibilities by staff <p>Impacts on:</p> <ul style="list-style-type: none"> - Reputation - Missed opportunity to improve equality, diversity and inclusion 		<ul style="list-style-type: none"> - 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 		<ul style="list-style-type: none"> - 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
<ul style="list-style-type: none"> - Legal challenge - Financial impact 		(EqIA) template and guidance in place <ul style="list-style-type: none"> - Copies of EqIAs are maintained as part of each service's records - Learning & Development have rolled out an equalities training package. 			
<p>CR19 Legislation, Regulations, and Standards Council does not comply or is slow to respond to new or changed legislation, regulations, and standards</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Changes in legislation - Lack of awareness of standards required in profession - Lack of training <p>Impacts on:</p> <ul style="list-style-type: none"> - Reputation - Legal action - Financial penalties - Poor external assessment 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - 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 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - 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
<p>CR20 - Financial Management The Council fails to maintain its financial controls and or has its Statement of Accounts (SOA) qualified</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Staff capacity 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - General Purposes Committee (GPC) and Assurance Board review of audit actions - Director of Finance (Corporate) has oversight of SOA - Plan of improvement reviewed and updated to GPC. 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Restructure in Corporate Finance to review opportunities to strengthen team - General Purposes Committee to be updated monthly - Lead Member updated weekly - External audit 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
<ul style="list-style-type: none"> - Unclear policies and procedures - Lack of understanding of responsibilities - Knowledge loss through restructures and leavers - Difficulties in completing the external audit in a timely manner <p>Impacts on: Significant reputational damage with stakeholders (customers, residents, suppliers and public bodies)</p>		<ul style="list-style-type: none"> - Bi-weekly meetings by 3 most senior finance officers - Schools have been updated with changes - Chartered Institute of Public Finance and Accountancy (CIPFA) Financial Management Review completed and action plan developed 			