



London Borough of Enfield

Report Title	Corporate Risk Register
Report to	General Purposes Committee
Date of Meeting	16 March 2023
Cabinet Member	Councillor Tim Leaver, Cabinet Member for Finance and Procurement
Directors	Terry Osborne, Director of Law & Governance
Report Author	Gemma Young, Head of Internal Audit & Risk Management Gemma.Young@Enfield.gov.uk
Wards affected:	All
Classification:	Part I Public

Purpose of Report

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

Recommendations

1. Note the latest Corporate Risk Register.

Background and Options

2. Since the Corporate Risk Register was presented to General Purposes Committee on 20 October 2022, reviews have been carried out by all Departments and by the Assurance Board.
3. No risks have been added to the CRR; nor have there been any changes to risk scores.
4. One medium rated risk, Legislation, Regulations, and Standards has been removed. This risk was defined as "The Council does not comply or is

slow to respond to new or changed legislation, regulations, and standards”. Following a review of this risk, it was considered the risk is well engrained into the organisation and is business as usual. As such it is no longer considered to be a significant corporate risk. Going forward any risks relating to specific legislation will be captured in departmental risk registers as and when they arise.

5. There have been changes to mitigations, actions, causes, and impacts. These changes have been [highlighted in blue](#) in **Appendix A**.
6. **Appendix B** provides details of the original risk score, the previous risk score, the current risk score, and the trend for each individual corporate risk.

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Appendices

Appendix A: Corporate Risk Register

Appendix B: Corporate Risk Register Ratings Trend

Background Papers

None

CE22-038

Corporate Risk Register

Note:

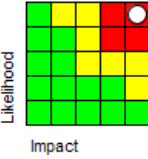
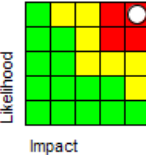
The Corporate Risk Register will be updated to reflect the new organisational structure during the next review round.

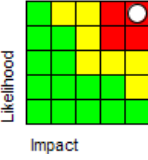
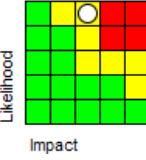
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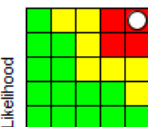
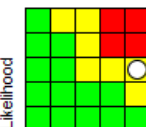
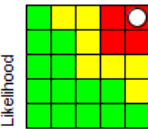
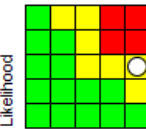
Risk Level	Risk Response	Monitoring
Low	Accept	Six Monthly
Medium	Mitigate	Quarterly
High	Escalate	Monthly

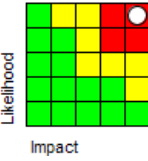
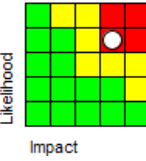
Score	Likelihood	Impact
1	Rare	Insignificant
2	Unlikely	Minor
3	Possible	Moderate
4	Likely	Significant
5	Almost Certain	Critical

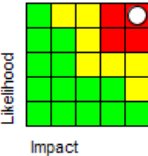
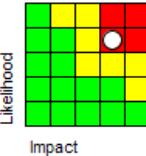
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<p>CR01 Financial resilience The Council's financial position is adversely affected.</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Non-delivery of agreed savings - Robustness of reserves - Economic downturn - Political change - Change to the funding framework - Inflation - Interest rate changes 		<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 		<ul style="list-style-type: none"> - Ongoing review of adequacy reserves - Fair Funding Review lobbying is ongoing - Deliver the budget savings agreed in February 2022 and mitigate inflation pressures for 2022/23 - Budget Pressure Challenge Board's ongoing process - Scenario planning for potential tightening of 	Resources

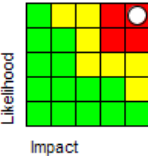
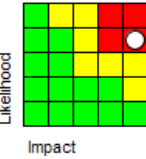
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<ul style="list-style-type: none"> - Tightening of borrowing landscape (e.g. through Minimum Revenue Provision regulation) - Inflation - Missed opportunities on a major project - HRA rent cap <p>Impacts on:</p> <ul style="list-style-type: none"> - Delivery of Council functions - Meeting the Council's priorities and ambitions - Reputation 		<ul style="list-style-type: none"> programme and treasury strategy - Spending controls for staffing costs and Capital Programme introduced with immediate effect 		<ul style="list-style-type: none"> borrowing landscape - Develop a financial resilience dashboard - Wider budget review programme underway including capital and revenue and recharges 	
<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 		<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 		<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 	Resources


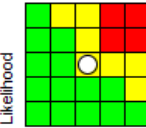
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<p>- Cost of living crisis</p> <p>Impacts on:</p> <ul style="list-style-type: none"> - Financial pressures - Inability to deliver services - Restrictions on future aspirations 		<p>agreed March 2021; monitoring of the delivery of this strategy in place through Board</p>		<p>maximise business rate income</p> <ul style="list-style-type: none"> - Council tax and business rate income being monitored closely 	
<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 - 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"> - 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 - 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 		<ul style="list-style-type: none"> - Participation in counter fraud exercises, including the National Fraud Initiative and a data matching pilot lead by CIFAS - Participating in the London Fraud Hub, including data matches involving our Pension and Blue Badge records. - Reviewing the results of the National Fraud Initiative data-matching exercise once these become available in February 2023. - Promote greater fraud awareness for staff and encourage whistle-blowers to come forward. 	<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
<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 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>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
<p>CR05 Duty of Care Failure of statutory and/or safeguarding duties to adults, children, employees, residents, and businesses</p>	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Safeguarding procedures - Policies - DBS checks for staff and volunteers 	 <p>Likelihood</p> <p>Impact</p>	<ul style="list-style-type: none"> - Planned programme of audits covering children and adults safeguarding - External inspections (internal 	People

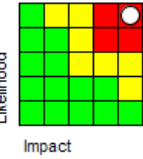
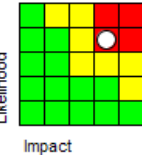
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<p>within the Borough</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Staff capacity issues - Pressure within social work team - Difficulty in recruiting - Poorly defined and undocumented processes and controls - Increased demand - Unable 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 - Physical security weaknesses <p>Impacts on:</p> <ul style="list-style-type: none"> - Harm/distress to individuals or families, - Reputation - Increase in complaints 		<ul style="list-style-type: none"> - 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 		<p>controls help to manage and reduce risk, but risk cannot be eliminated from this area of work)</p> <ul style="list-style-type: none"> - Provider Sustainability Board - We will review our processes and consider if any further steps need to be taken to protect our employees from individuals on the Cautionary Contacts Database 	
<p>CR06 Customer Demand Increasing or decreasing demand changes (e.g. population, demographics, political, economic etc.)</p>	 <p style="font-size: small; margin-top: 5px;">Likelihood</p> <p style="font-size: small; margin-top: 5px;">Impact</p>	<ul style="list-style-type: none"> - Eligibility criteria for services - Making Every Contact Count (MECC) for staff - Services are focussed on early help and enablement to prevent 	 <p style="font-size: small; margin-top: 5px;">Likelihood</p> <p style="font-size: small; margin-top: 5px;">Impact</p>	<ul style="list-style-type: none"> - Predictive analytics used on ongoing basis to shape services - Increasing Special Education Needs (SEN) Places in the 	<p>People; Place</p>

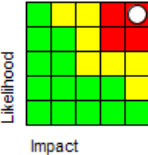
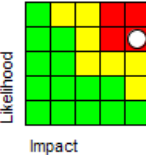
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<p>Caused by:</p> <ul style="list-style-type: none"> - Misallocation of resources. - Cost of living crisis <p>Impacts on:</p> <ul 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 leading to capacity issues 		<ul style="list-style-type: none"> 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"> 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 - Review systems, processes, and resources in Legal Services to ensure there is an ability to respond adequately to safeguarding demands - Development of Family and Community hubs offering integrated places based interventions 	
<p>CR07 Digital Technology Failure of the Council's digital technology</p> <p>Caused by:</p>	 <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 	 <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 	Resources

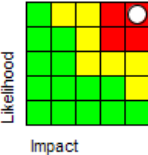
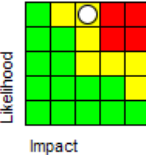
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<ul style="list-style-type: none"> - Cyber-attack - Data breach - Hardware failure - Failing to deliver agreed upgrade programme - Software and hardware falling into obsolescence - Supplier failure <p>Impacts on:</p> <ul style="list-style-type: none"> - Severe disruption of service delivery - Financial costs - Reputational damage (due to an inability to work and communicate) - Inspection outcomes - Ability to meet statutory compliance 		<ul style="list-style-type: none"> polices - 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 		<ul style="list-style-type: none"> 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 	
<p>CR08 Major Incident Failure to respond adequately to a major incident that adversely affects the Council, its residents, or its businesses.</p> <p>Caused by:</p>		<ul style="list-style-type: none"> - Business Continuity Management Board meets regularly - Staff training - Adequate insurance in place - Corporate Business Continuity (BC) Plan in place - Departmental business continuity 		<ul style="list-style-type: none"> - Department & Service Business Continuity Plans are regularly being updated and reviewed - Corporately services and departments have reviewed plans in line with lessons 	Chief Executives

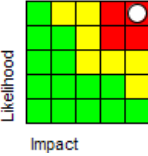
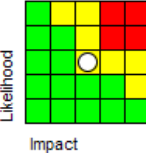
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<ul style="list-style-type: none"> - Pandemic - Terrorism - Natural disasters - Flooding - Fire - Riots <p>Impacts on:</p> <ul style="list-style-type: none"> - Significant financial loss - Disruption of services - Harm/distress to vulnerable people - Reputation - Staff absence 		<ul style="list-style-type: none"> 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. 		<p>learnt from COVID-19</p> <ul style="list-style-type: none"> - 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 style="font-size: small; margin-top: 5px;">Likelihood</p> <p style="font-size: small; margin-top: 5px;">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 style="font-size: small; margin-top: 5px;">Likelihood</p> <p style="font-size: small; margin-top: 5px;">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 - To review roles and responsibilities and organisational structure in 	Place

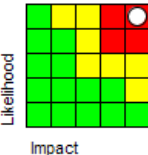
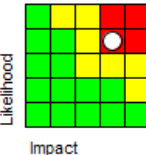
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<ul style="list-style-type: none"> - Physical security weakness - Changes to roles and responsibilities not being embedded leading to gaps in competent persons or senior responsible officers. <p>Impacts on:</p> <ul style="list-style-type: none"> - 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 - New Head of Corporate and Cyber Security appointed 		<ul style="list-style-type: none"> relation to Corporate Health and Safety 	

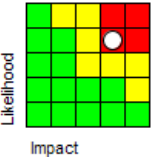
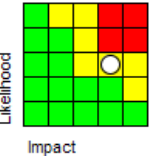
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<p>CR10 Housing Failure to deliver the housing strategy and respond to the changing regulatory environment around Council housing delivery</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Affordability (eg. due to government rent cap currently 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"> - 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) - 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"> - Monitor housing delivery through the Housing Delivery Board - Regular meetings to monitor service delivery capacity among management and Human Resources - 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 	Place

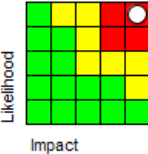
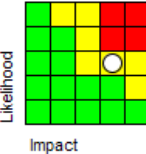
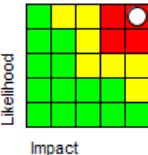
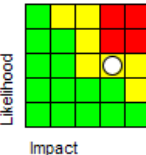
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
				<ul style="list-style-type: none"> - We will respond to the government's consultation on the rent cap to explain the impacts on our housing strategy - HRA business plan review is under way - Reviewing the future management of TA - Review technical expertise and technical capacity in Legal Services to ensure we are able to respond to demands on the service for advice and support in this area. 	
<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 		<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 		<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 - Review technical expertise and technical capacity in 	Place

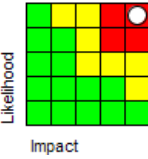
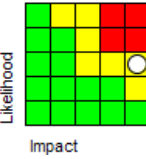
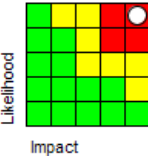
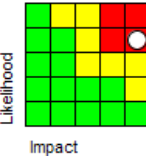
Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<p>- Unexpected/planned increase in interest rates</p> <p>Impacts on:</p> <ul style="list-style-type: none"> - Reputation - Financial loss - Opportunity loss - Negatively impacts on the wellbeing of residents and businesses. - Could lead to Enfield becoming an undesirable location to businesses 		<ul style="list-style-type: none"> - Increased capacity and capability of finance support by recruiting a Head of Finance (Meridian Water) - Capital financial controls in place 		<p>Legal Services to ensure we are able to respond to demands on the service for advice and support in this area.</p>	
<p>CR12 Supply Chain & Contract Management</p> <p>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 - 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>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 General Purposes Committee - Performance monitoring - Updated contract management guide has been put on the intranet - Departmental contract boards – now up and running 	 <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 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 - Embedding procurement 	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
				team restructure - Review technical expertise and technical capacity in Legal Services to ensure we are able to respond to demands on the service for advice and support in this area.	
<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 - Review technical expertise and technical capacity in Legal Services to ensure we are able to respond to demands on the service for advice and support in this 	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
				area.	
<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 - Physical security weakness <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 	 <p>Likelihood</p> <p>Impact</p>	<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 	 <p>Likelihood</p> <p>Impact</p>	<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 	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"> - Business continuity plans in place for all services - New applicant tracking system (ATS) has been procured and implemented - First cohort of mental health first aiders trained and rolled out in March 2022. 		<ul style="list-style-type: none"> - The new workforce strategy has been developed and will be implemented along with the Council Plan. - Continue to monitor the impact of the mental health first aiders initiative - As part of the MTFP, 2023-24 apprenticeship co-ordination will be devolved into Departments. 	
<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 	 <p>Likelihood</p> <p>Impact</p>	<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 	 <p>Likelihood</p> <p>Impact</p>	<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

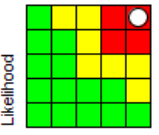

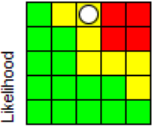

Risk Title & Description	Original Risk	What we have done so far (Existing Risk Mitigations)	Current Risk	What we still need to do (Further Planned Actions)	Lead Department
<p>CR16 Community Cohesion Heightened tensions in the community</p> <p>Caused by:</p> <ul style="list-style-type: none"> - Political 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 - Financial loss - Property damage - Reputational damage 		<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
<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

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>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 - Legal challenge - Financial impact 		<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 (EqIA) template and guidance in place - Copies of EqIAs are maintained as part of each service's records - Learning & Development have rolled out an equalities training package. - - 19 new and refreshed EDI learning modules released in January 2023 		<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. - Disability Confidence for Managers course being rolled out to managers during 2023. 	Chief Executives
<p>CR19 - Financial Management The Council fails to maintain its financial controls and or has its Statement of Accounts (SOA) qualified</p>		<ul style="list-style-type: none"> - General Purposes Committee (GPC) and Assurance Board review of audit actions - Director of Finance (Corporate) 		<ul style="list-style-type: none"> - Restructure in Corporate Finance to review opportunities to strengthen team 	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>Caused by:</p> <ul style="list-style-type: none"> - Staff capacity - 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:</p> <p>Significant reputational damage with stakeholders (customers, residents, suppliers and public bodies)</p>		<p>has oversight of SOA</p> <ul style="list-style-type: none"> - Plan of improvement reviewed and updated to GPC. - 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 		<ul style="list-style-type: none"> - General Purposes Committee to be updated monthly - Lead Member updated weekly - External audit underway 	

Appendix B

Corporate Risk Register Ratings Trend

Risk	Original Rating	Rating at October 2022	Rating at January 2023	Trend
CR01 Financial Resilience	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	↔
CR02 Income Maximisation	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	↔
CR03 Fraud & Corruption	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	↔
CR04 Data Management	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	↔
CR05 Duty of Care	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	↔
CR06 Customer Demand	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	↔
CR07 Digital Technology	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	↔
CR08 Major Incident	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	↔
CR09 Health & Safety	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Likelihood</p> <p>Impact</p>	↔

Risk	Original Rating	Rating at October 2022	Rating at January 2023	Trend
CR10 Housing				↔
CR11 Regeneration & Growth				↔
CR12 Supply Chain & Contract Management				↔
CR13 Commercial Ventures				↔
CR14 Staffing				↔
CR15 Tax				↔
CR16 Community Cohesion				↔
CR17 Climate Change				↔
CR18 Equality, Diversity, and Inclusion				↔
CR19 Financial Management				↔