

APPENDIX 1 - COVID-19 - Risk Assessment

Key categories of risks which continue to emerge and evolve are set out below. The likelihood and impact columns have been populated. Please refer to the bottom of this document for the 'Risk Matrix' and plotting of these risks to determine relative significance and prioritisation. All red risks are highlighted in sections A to D of the risk assessment.

<u>Risk Area</u>	<u>Likelihood</u>	<u>Impact</u>	<u>Control Measures / Mitigation</u>	<u>Risk or Issue Action Plan & Further Considerations (Including Residual Risk)</u>
<p><u>A. Economy</u> Red Risk</p> <p><u>Risk</u> - Economic recession forecast is the worst in 300 years with detrimental impact locally, nationally and globally; long period of economic recovery; rising unemployment levels due to anticipated redundancies when the furlough scheme comes to an end, increasing demands on a range of Council Services (e.g. noise and neighbourhood complaints, processing</p>	4	4	<p>The significant economic impact of COVID-19 for the Borough and any necessary actions arising will continue to be monitored over the short, medium, and longer term.</p> <p>EU exit took effect on 1 January 2021. In terms of the EU exit implications, the Council is signposting businesses to information which is available on Government and other websites. Webinars are being held in conjunction with the Federation of Small Businesses on challenges and practical measures. Two specific webinars are planned on goods and services in response to requests.</p> <p>An Economic Development Recovery Plan has been developed which sets out</p>	<p>The economic slowdown and impact of COVID-19 for the Borough is being reviewed and reported.</p> <p>Stock levels to be checked with suppliers (e.g., MOW suppliers)</p> <p>Furlough extended to end of April 2021. Awaiting Chancellor's budget on 3rd March to see if extended further.</p> <p>Currently handling six types of grants to support businesses.</p> <p>The Economic Development Recovery Plan will cover:</p>

<p>business support grants and self isolation grant claims, anti- social behaviour and community safety; waste and recycling collection levels); significant economic impact on local area due to proximity to Heathrow airport with aviation industry being severely affected</p> <p><u>Risk</u> – Significant impact on the Economy due to second lockdown</p> <p><u>Risk</u> - Recovery adversely impacted by concurrent flooding and further / extended lockdowns</p>			<p>where the Council can intervene (some externalities will have to be accepted). Actions will include quick wins and longer-term actions. This is to be incorporated into a broader Corporate Recovery Plan.</p> <p>Survey to be undertaken of key major businesses in the Borough (with particular focus on the aviation sector) to better understand the impact of COVID-19 in respect to their operations. A review has also been undertaken of recent reports and surveys by organisations such as Heathrow Community Engagement Board, West London Alliance, Surrey Community Impact Assessments and HAL to fully understand the adverse impact on employment and the aviation section.</p> <p>Council working with EM3 and Heathrow to address structural issues. This includes working with EM3 to promote ‘Job Fuse’ as a means of brokering new job opportunities with those made redundant.</p> <p>The Council secured £43,000 match</p>	<ul style="list-style-type: none"> • Health • Communities • Housing & Infrastructure • Skills & Employment • Business & Growth Sectors • Town Centres • Green Recovery
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		<p>funding from EM3 for Bounce Back Streets (the only successful Surrey Council in the first round) to support initiatives to get residents back into our local centres safely and in a secure COVID way. Small business incubator opening April 2021.</p> <p>Multi-Agency Group set up and led by the Council with the DWP, businesses and A2D to focus on supporting the 18-25 year olds into employment. A partnership bid has been submitted to the DWP for a Youth Hub which, if successful will increase the local capacity to deliver employment and wellbeing support for NEETs and increase the accessibility to job, training, and employment opportunities through a virtual youth hub with all the opportunities in one place.</p> <p>Business Rates Retention Fund is available to help deliver necessary actions arising from this review. Monies from this fund have been used for the appointment of a Town Centres Manager (18-month full time post) for the Boroughs secondary shopping centres. The postholder is undertaking an analysis of issues and risks and</p>	
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		<p>developing individual action plans.</p> <p>Options on how best to support local retailers with a digital / app presence are being explored as nearly half of retailers are not geared up with online presence which is limiting their reach.</p> <p>Financial support for businesses has been made available through Government schemes (Business Rates Phase 1 – Small Business Grants Fund (SBGF), the Retail, Hospitality and Leisure Business Grants Fund (RHLGF) and the business rate holidays; Business Rate Phase 2 – the Local Authority Discretionary Grants Fund; Furlough and Self –Employment schemes)</p> <p>The Council has worked with Openreach to continue to improve broadband speed and availability across Spelthorne, and Fibre to the premises (FTTP) has commenced in Sunbury. We are pushing for this to cover other areas of the Borough to assist in home / flexi working and start-ups.</p>	
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<p><u>B. Local Operating Procedures, Policies & Plans</u> Red Risk</p> <p><u>Risk</u> – Government guidance on Second wave vague / confusing for residents / Lack of Upper Tier engagement with Lower Tier / Exit Strategy unclear / Third wave lockdown</p>	4	3	<p>Applied Resilience Interim Lessons Learned Debrief on COVID-19 1st wave and new Pandemic Plan reported to MAT in August 2020.</p> <p>Draft Rapid Needs Assessments including SEND, BAME, Domestic Abuse, Homelessness, and Mental Health completed, and comments provided to SCC.</p> <p>A borough-wide response to the COVID-19 crisis produced and acknowledged as good Council practice by the LGA outlined key areas including:</p> <ul style="list-style-type: none"> • Supporting our Communities (Established Covid Champions to) • Maintaining other Key Services • Supporting Staff and Services • Corporate Governance and Committee Management • Communications • Financial Implications; and • Recovery <p>Communication to residents / staff / Councillors updated on Council website / social media / Council meetings.</p>	<p>Upper Tier Authority to engage more effectively with districts and boroughs.</p> <p>Grey areas of second lockdown clarified (going to work, click/collect vs pick-up, types of retail that can open, enforcement)</p> <p>Broader internal recovery task group focused on health and well-being knock on impacts of economic downturn. At Local Resilience Forum Level there has been consideration of the impacts of Brexit, adverse weather conditions and COVID-19 for Winter 2020/21 in terms of our economy and operations.</p> <p>MAT and VBEC addressing the logistics around Test and Trace / Mass testing rollout / vaccination strategy and collaborative working with local partners / Exit Strategy (including resources) and “resetting” of local Tiers.</p>
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			<p>Corporate engagement with Operation Taragon briefings (Non-COVID winter pressures)</p>	<p>Pressure on NHS services, including impact on social care and mental health services.</p> <p>Corporate response to recovery (Economic, Social and Environmental) including progressing work undertaken through various MHCLG groups and key regional sectors (incl. aviation)</p> <p>Resumption planning and seeking positive opportunities</p>
<p><u>C. Financial Sustainability and Resilience</u> Red Risk</p> <p>(i) <u>Risk</u> - Significant financial cost implication on the Council associated with increased spend on COVID-19 related activities / operations; uncertainty over reimbursement of</p>	4	3	<p>In December 2019, Spelthorne Borough Council commissioned the LGA to deliver a finance peer challenge to be delivered in June 2020, which was subsequently postponed due to COVID-19. An independent peer led review of the Council's approach to finance was undertaken in October 2020 and a final report issued in January 2021. Peer Review concluded that whilst a challenge arising from COVID-19 in relative terms, Council is starting from a strong platform.</p>	<p>An action plan has been drawn up to progress the recommendations from the LGA Finance Peer Review. These recommended improvements have been accepted by the Council. Any synergies between this and the CIPFA Financial Management Code, Self-Assessment will also be undertaken.</p> <p>Following lobbying and other work-streams such as Delta</p>

<p>funding from central government (including indirect costs such as reduced business rates); income losses across several services; significant impact on net budget; insufficient cash resources and cash flow challenges; reduced level of income due to vulnerable revenue sources; reduced level of investment returns</p> <p>(ii) <u>Risk</u> - Recovery is adversely impacted because local agencies (public and voluntary/communities) do not have access to sufficient funding to respond to additional demand / invest in recovery / lose organisational capacity because of shortfalls in income streams</p> <p>(iii) <u>Risk</u> - Significant</p>			<p>Accountancy liaising with Services over financial monitoring (income and expenditure implications, and Business Rates and Council Tax collection). Debt recovery processes are being impacted with court action suspended.</p> <p>Accounting for all expenditure relating to COVID-19 by coding to defined accounts. Supporting documentation retained to assist claims for funding reimbursement from Government. Coding and reporting requirements communicated to services co-ordinated by Accountancy.</p> <p>Financial impact assessment modelling is undertaken regularly, including worst, mid-range and best-case assumptions. Monthly returns being submitted to MHCLG via formal process. Longer term modelling to assess next 12 months depending on stock market and pensions impact.</p> <p>Worked with other Districts & Boroughs to collate financial data on the impact of COVID-19 and lobbying has taken place for additional financial assistance from Central Government as well as perusal</p>	<p>reporting, various tranches of Government grants have been released over the last year. During the third tranche of funding received reimbursement of 71.25% of loss on fees and charges income, which was a major impact for Spelthorne.</p> <p>Delta returns submitted include details of loss of income and additional costs incurred during COVID-19. Managers will be continuing to consider the financial impact of COVID– 19 on services, because of lockdown three.</p> <p>Continued modelling of the effects of COVID-19 on the Council’s finances.</p> <p>Reserves Strategy and medium-term financial strategy reported to Cabinet.</p> <p>Separate sinking funds set aside.</p>
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<p>negative impact on residents if Services are unable to meet need because of financial constraints</p>			<p>of recharges from County. Professional Institutes offer advice across the sector. Scale of impact of re-opening leisure centres has been highlighted to government.</p> <p>Sinking funds already set aside for commercial investments as a prudent measure. Sinking Funds methodology has been presented to Overview and Scrutiny. Continued weekly monitoring of commercial asset income due/any shortfalls anticipated. For the Investment Portfolio, the March quarter collection is 97.37%. September quarter is 96.57% and December quarter as of 28 January 2021 is 95.92%. The overall collection rate for the three quarters to December 2020 is now 96.93%.</p> <p>Despite being acquired for regeneration purposes, the Elmsleigh Centre achieved 61.64% overall in the March quarter, 71.2% in the June quarter, and the September quarter is 79.24%. The December quarter as of 28 January 2021 is 37.33%.</p> <p>A weekly review of all our investment and regeneration assets (including</p>	<p>10-year scenario modelling of worst case COVID-19 scenarios undertaken.</p> <p>Expected case scenarios also highlighted. Individual business plan for each of the Council's assets.</p> <p>Surrey Treasurers liaising on fortnightly basis to share information. Monitoring of Business Rates and Council Tax collection levels - currently Spelthorne are faring better than some other authorities on council tax but due to Heathrow impact business rates more challenging.</p> <p>Deferral by a year of Fair Funding Review and Business Rates 75% retention will help. Surrey Treasurers monitoring tax base and collection fund deficits</p>
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		<p>Elmsleigh) is undertaken which covers rent collection, lease negotiations, arrears and sinking fund expected and worse case scenarios.</p> <p>Liquidity and cash flow forecasting and monitoring / Treasury Management (TM) to assist planning for increased levels of expenditure and monitoring of market activity – ongoing changes to the forecasting process to increase effectiveness of forecasting. Additional staffing resources is strengthening the TM function, as is implementation of a TM online system. Review of TM and related strategies with reference to external TM advisors and including in the context of COVID-19.</p> <p>Fully refreshed Reserves Strategy (2021).</p> <p>Report to 21 May 2020 Extraordinary Council Meeting setting out mitigating options to address 2020-21 Budget gap including use of reserves. Council approval was sought early on to use up to £2.2m of reserves if required to offset impacts on services income and expenditure.</p>	
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			Tax base and collection fund impacts will impact on 2021-22 Budgets.	
<p>D. Insufficient Capacity Red Risk</p> <p>(i) <u>Risk</u> - Increased demand and organisational pressures on staff arising from political demands may result in losing focus of important priorities (eg green initiatives)</p> <p>(ii) <u>Risk</u> - Increased demand on some frontline Services such as Customer Services (Council Tax / Business Rates) / Independent Living / Housing / Benefits</p> <p>(iii) <u>Risk</u> - Essential Services are overwhelmed when they return to the 'new</p>	4	4	<p>The Council is moving to a Committee system and a review of the Council Constitution is in progress. The Committee Services team / resource has been strengthened to move this task forward.</p> <p>Capacity analysis and skills assessment undertaken. Staff in 'non-essential' services continue to be redeployed (where feasible) to support areas where there is increased service demand.</p> <p>Surplus capacity is however becoming stretched with service needs.</p> <p>Staff redeployment policy. Training and risk assessments for redeployed staff.</p> <p>Staff are encouraged to take breaks and annual leave to provide a work / life balance.</p> <p>Where Mental health issues are raised these are supported on a regular basis including via mental health first aiders,</p>	<p>5 Extraordinary Committee meetings took place during COVID-19 crisis. Political demands / challenges to be addressed.</p> <p>Corporate capacity remains severely stretched especially as still facing Government requests for extra work and some aspects of COVID-19 work such as the administration of grants to support businesses and social support for hospital discharges, will continue for considerable time. Service Managers to highlight and quantify backlog work areas to assist recovery phase.</p> <p>Managers to be aware and act where necessary on staff needs caused by the pandemic e.g., mental health and the need to support remote</p>

<p>normal'</p> <p>(iv) <u>Risk</u> - Increased staff fatigue / burnout / sickness levels arising from additional workload, new demands and overstretched capacity; where family members of staff encounter job losses or redundancies this may impact further on employee stress levels and wellbeing</p>			<p>managers or outside support. Care First are an employee assistance scheme that can provide confidential counselling and practical information. This scheme has been promoted through regular staff communications.</p> <p>To assist employees financially in need, a SAFE scheme is in place to help those most in need.</p>	<p>working staff.</p>
<p><u>E. (i) Business continuity and Operational Resilience</u> Yellow Risk</p> <p><u>Risk</u> – Unable to deliver critical, essential or non-essential Council Services, resulting in diminished provision to community / stakeholders</p>	<p>3</p>	<p>3</p>	<p>Business Continuity Plans invoked. V-BEC (Virtual Borough Emergency Centre) forum with daily briefings for first 110 days of the emergency.</p> <p>Collaboration across Services and with the Local Resilience forum. Majority of staff continue to work from home in accordance with government guidance to reduce the risk of virus spread and relieve pressures on the NHS, whilst ensuring continuous delivery of Services. There are exceptions for some key frontline workers where remote</p>	<p>Continued as part of emergency response V-BEC meetings to manage ongoing impacts of the pandemic.</p> <p>Council is using alternative technological options for virtual meetings and a staff survey has been undertaken to identify IT equipment needs to promote further efficiencies.</p> <p>Continuity Planning</p>

			<p>working is not possible and they have formed social bubbles in delivering essential public services, such as refuse operations within Neighbourhood Services.</p> <p>Business Continuity Plans have been updated. Group Heads and Managers reviewed operational resilience and resourcing in addressing demand arising from COVID-19.</p> <p>Microsoft Teams has been rolled out to support continued remote working and virtual meetings. IT helpdesk provision / equipment and kit reviewed.</p> <p>As part of the COVID-19 Recovery Policy, all staff who can work from home are doing so. Additional ICT kit and furniture purchased. Additional training and support on how to manage staff remotely and be supportive of mental health issues has been put in place.</p> <p>Pandemic forecasting and modelling continue to assist planning.</p>	<p>undertaken at national and local level under the Local Resilience Forum.</p> <p>Aspects of service delivery significantly impacted by ongoing COVID-19 (e.g., statutory food hygiene inspection programme). Resources are being reviewed and strengthened for these areas.</p>
<u>(ii) Business Continuity</u>	2	3	Recovery planning has been considered	Since the start of COVID-19,

<p><u>and Operational Resilience</u> Yellow Risk</p> <p><u>Risk</u> – Inadequate or delayed preparation for recovery phase and resumption planning, impacting on Service delivery</p>			<p>with an acknowledgement of entering ‘a new normal’ rather than reverting to how things were operating prior to the pandemic.</p> <p>The Root and Branch team (Continuous Improvement Team) have consulted managers across all services on arrangements in planning for recovery. There are increasing demands in some service areas, as well as changes to how services are used by communities / delivered and this is likely to be ongoing.</p> <p>A phased approach for the Council’s recovery is envisaged - draft Internal Recovery Policy has been produced. Measures will continue to be applied to promote health, safety and wellbeing of staff, residents, local communities and businesses during the recovery phase. New ways of working will also be captured as part of recovery to ensure benefits and opportunities continue to be realised.</p>	<p>service delivery has significantly changed, while some areas managed to resume some low-level sort of ‘normal’, other areas of service delivery have not returned to any sort of ‘normal’ with the additional work of COVID-19 being delivered.</p> <p>Planning for some form of new normality once lockdown is relaxed remains challenging due to ongoing uncertainty, potential for new variants of the virus to emerge, further outbreak and review of timescales in delivering the mass vaccination programme.</p> <p>Continuing to fully develop detailed plans for the recovery process for services, as well as support for businesses and residents. Corporate response will be agreed.</p> <p>Staff consultation is underway with surveys issued. Councillors have also been</p>
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				consulted Re-engagement with residents, businesses, and stakeholders as part of recovery phase to review longer term impact.
<p><u>F. Health and Wellbeing / Safety</u> Red Risk (RAG RATING INCREASED AT THIS REVIEW DUE TO INCREASED TRANSMISSION RATES/IMPACT OF NEW VARIANTS)</p> <p>(i) <u>Risk</u> - Staff, contractors and community are at increased risk of being infected by COVID-19. Increased virus transmission rates as new variants continue to be identified, possibly leading to long term absence from employment, poor</p>	(i, ii, iii, iv) 4	(i, ii, iii, iv) 4	<p>See above – significant level of remote working continues across many areas. Staff requested to complete remote working assessment and report any concerns arising. Business travel minimised. Council has legal responsibility to protect staff, Councillors, residents etc.</p> <p>As rollout of the mass vaccination programme continues, uptake of vaccinations is being promoted across the borough through various communication channels to target groups as required (refer also to risk category M Reputation/ Communications).</p> <p>The Council has a contract in place for the provision of PPE, this has eliminated the need for ad-hoc supplies and has ensured that a good supply is available.</p>	<p>A residual risk remains as the possibility of virus transmission cannot be eliminated. This has further accelerated with the latest strain of the virus and new variants. Vaccine efficacy may be further impacted.</p> <p>There remains a residual risk around some individuals declining the vaccine, leaving them unprotected and enhancing risks of continued virus transmission across local and wider communities.</p> <p>Shortage of PPE was recognised as a global challenge so remains an ongoing risk, but currently sufficient available. No longer reliant on LRF supplies, have</p>

<p>physical and mental health or even fatalities. Impacts on resource availability and Service provision (SBC).</p> <p>(ii) <u>Risk</u> - There are associated reputational risks if Council staff were found not to be complying with health and safety guidance leading to increased infection rates across the community, or alternatively if Spelthorne staff are not being adequately protected when undertaking high risk activities (potential for claims against the Council)</p> <p>(iii) <u>Risk</u> – Further waves and / or local outbreak of the virus arises because of inadequate mitigation measures</p>			<p>The Council currently holds supply in stock.</p> <p>COVID-19 testing is available where staff and Councillors show symptoms / Household risk identified and guidance has been circulated. Lateral flow testing for staff will be available from February 2021.</p> <p>Where staff are required or expected to come into work / carry out visits to sites, residential properties or Community Centres, Health and Safety guidance is in place and communicated. This adheres to national guidance from ‘Public Health England’ and takes account of any regional tiered arrangements. Guidelines are also in place for contractors such as at development sites. This covers for example requirements across key categories relating to social distancing, hygiene, hand sanitisers for staff use, Personal Protective Equipment (PPE) for staff involved in high-risk activities. For example, Meals on Wheels and SPAN alarms now dropped to clients via doorstep deliveries to ensure the safety of clients and staff.</p>	<p>own suppliers but need to ensure supplies remain sustainable post EU exit.</p> <p>Return to Work document and Health and Safety Risk Assessments undertaken for three key areas considering best practice (Council Offices, Visits and Depot, Community Centres, and other frontline services).</p> <p>Spelthorne’s Health and Safety guidance will continue be reviewed to reflect any developments to national guidance.</p> <p>Contact Track and Tracing system to support protection measures and Environmental Health to provide a key role. Resourcing for this process to be confirmed.</p> <p>The Government's Track and Trace programme has the potential to isolate large numbers of the depot</p>
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<p>(iv) <u>Risk</u> - Pandemic experience presents ongoing physical, mental, and emotional health impact on staff, volunteers, and residents</p> <p>(v) Pandemic experience has led to greater reflection on life's priorities and as a result some staff have made decisions to give up work. This has resulted in the loss of talented individuals who held vast experience and knowledge of the organisation.</p>			<p>Staff training and awareness raising for Health and Safety arrangements communicated via documented guidance.</p> <p>Proposed future layout for Council and satellite Offices reviewed to take account of social distancing rules.</p> <p>Environmental Health have undertaken a significant number of inspections and compliance checks on business premises. Health and Safety measures are reviewed as businesses close and reopen with changing lockdown restrictions (in accordance with evolving government guidance). This has included the provision of advice and information on social distancing measures to help prevent the spread of COVID-19. Enforcement action is taken if required.</p> <p>Staff are regularly reminded about mental health support as part of employee wellbeing. Hardship fund available to assist employees where eligible. Employee assistance scheme 'Care First' launched and promoted.</p>	<p>operational workforce. Operating in bubbles / groups is underway to minimise loss of whole crew.</p> <p>Monitoring of staff retention measures and reiterating values around respecting and supporting staff.</p>
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			<p>Sickness monitoring by HR including COVID-19 infections to determine level of staff affected.</p> <p>As part of staff retention measures pay awards have been approved for 2021/22 and additional payment as token of staff appreciation for their commitment during the pandemic.</p>	
<p><u>G. Remote Working / Performance Management / Sustainability and Climate Change</u> Yellow Risk</p> <p>(i) <u>Risk</u> – reduced visibility and oversight of output / outcomes potentially leading to lower productivity.</p> <p>(ii) <u>Opportunity</u> - On the contrary, there may be opportunities for increased productivity and efficiencies to be</p>	<p>(i)2</p> <p>(ii)3</p>	<p>(i)3</p> <p>(ii)3</p>	<p>MAT have encouraged Managers to consider approaches to managing staff in the remote working environment with minimal face-to-face contact. Regular communication should be in place and time recording has been encouraged so there is visibility of tasks being undertaken, particularly given that there is ongoing uncertainty over the duration of this epidemic.</p> <p>Managers can performance manage regardless of whether work is undertaken in the office or remotely as the emphasis should be on outputs rather than where the Service is delivered from.</p>	<p>Positive lessons from extended remote working are being assessed and examined in moving to a 'new normal' and future change to methods of working post COVID-19.</p> <p>Performance monitoring and analysing the impacts on service delivery requires further attention (e.g., development and maintenance of automated performance reports in Environmental Health). HR developing new performance monitoring requirements for staff.</p>

<p>built upon from this new way of working.</p> <p>(iii) <u>Opportunity</u> - In addition, opportunities for environmental improvements (such as better air quality) have become more achievable arising from reduced traffic (road / rail / air) as people continue to work remotely, thereby positively contributing to sustainability measures</p>	(iii)3	(iii)3	<p>Climate Emergency declared and Climate Change Working Group made up of Members progressing actions on climate change. Capacity to deliver all requirements a risk.</p> <p>Managers have received training on effective remote team management.</p>	<p>The Council will look to identify and apply positives, around new ways of working, as part of the 'new normal'. Corporate Lead to build into action plans and promote benefits to staff.</p> <p>Environmental and sustainable measures will be further analysed as part of seeking opportunities, to include scope for the Council representing "Green Jobs" as an employer going forward and into Council projects.</p>
<p>H. Insufficient service capacity to deal with potentially increased levels of fatalities in the community arising from COVID-19 infections.</p> <p>Yellow Risk</p>	2	3	<p>Group Head Neighbourhood Services is monitoring levels of demand for burials / cremations in the current environment as part of the 'Excess Death cell' operation. An increased trend in cremations continues and reduces pressures on the burial service.</p>	<p>No specific action identified. The Group Head (Neighbourhood Services) has reassured there are no significant impacts arising from Covid-19 in terms of service delivery of this area.</p>
<p><u>I. Technological</u></p> <p>Yellow Risk</p> <p>(i) <u>Risk</u> - Disruption in</p>			<p>ICT are closely monitoring systems. They quickly managed to get people working from home and the network has performed well and been maintained for</p>	<p>ICT maintain a monitoring function to ensure the system is functioning and resilience maintained.</p>

			must come through Spelthorne's systems and the security measures in place identify "unsafe" sites.	
<p><u>J. Legal or Regulatory Compliance</u> Yellow Risk</p> <p><u>Risk</u> - Non-compliance with GDPR possibly leading to data security breaches and reputational damage arising from the following changes:</p> <p>(i) Increased sharing of personal data between services and with partner organisations</p> <p>(ii) Systems set up quickly may mean less robust systems and processes</p> <p>(iii) Collecting and processing new types of sensitive information</p>	3	3	<p>Information Governance offer advice across Services in response to COVID-19.</p> <p>There is acknowledgement from the Regulator - Information Commission Officer (ICO) that organisations may find it difficult to adhere to usual data protection compliance standards as resources are diverted.</p>	<p>Awareness raising continues as some services do not consider and then involve Information Governance early enough.</p> <p>The Data Protection Officer (DPO) has been involved in data sharing requirements under COVID-19 to help ensure compliance and practical delivery.</p>

<p>about individuals</p> <p>(iv) Increased Remote working</p> <p>(v) Phishing and cyber-attacks heightened (see earlier section on 'Technological risk')</p>				
<p><u>K. Suppliers and Contractors /3rd Party Relationships)</u> Yellow and Green Risk</p> <p>(i) <u>Risk</u> - Disruptions in Supply Chain Management e.g., delays in provision of goods / service due to reduced staff complement / furloughed staff / distribution issues. Companies may no longer be able to trade and unable to recover from the crises.</p>	(i)3	(i)3	<p>Contract and Supplier management to identify any obstacles in delivery of goods / services. Contract agreements and invoking of relevant clauses if appropriate.</p> <p>Procurement Policy Note (PPN) sets out information and guidance for public bodies on supporting suppliers through the Pandemic, with associated actions. This is to ensure service continuity and contract delivery during and after the lockdown.</p> <p>Government schemes to assist businesses stay afloat such as Business Support grants, Furlough. Discretionary Grants Scheme launched to help small and micro businesses.</p>	<p>Continue to review any necessary actions to be taken to support the Council's Suppliers.</p> <p>Extensive discussions being undertaken with the Council's Leisure Centres' operator.</p> <p>All development sites have had individual COVID risk assessments undertaken to ensure that they can operate safely. There have been no claims from contractors on Council development schemes.</p> <p>Establish whether the</p>

<p>(ii) <u>Risk</u> - Possible claims from Contractors due to delays to work programme caused by COVID-19.</p> <p>(iii) <u>Risk</u> - There may be exceptions to the Council's procurement regulations as greater flexibility to procure supplies may be deemed necessary to deliver new operations and meet urgent demands. Whilst increased flexibility is useful as part of the pandemic response, it also presents additional risks associated with fraud and error (see separate section) and achieving value for money.</p>	<p>(ii)2</p> <p>(iii)3</p>	<p>(ii) 2</p> <p>(iii)2</p>	<p>To ensure business continuity of operations, contractors for large scale development and maintenance work have been encouraged to proceed with work programmes, applying safety and social distancing measures in accordance with government guidance.</p> <p>Where exceptions to the Council's procurement regulations are deemed necessary to deliver urgent operations arising from COVID-19, existing exemption procedures and documented approvals (Contract Standing Orders) are required.</p>	<p>Council's suppliers / service providers have appropriate resilience plans for delivering critical business and that these are being monitored</p>
<p><u>L. Fraud / Error / Theft</u> Yellow Risk</p>			<p>Communications alerting staff and residents of potential scams and heightened risk of fraud.</p>	<p>Continuous monitoring as new risks and processes emerge. Communications team pursue</p>

<p>(i) <u>Risk</u> - COVID-19 represents yet another opportunity for scammers and professional fraudsters. They may also target vulnerable members of the community.</p>	(i)3	(i)2	<p>Detailed assurance guidance available for administration of the Government Grant Funding Schemes, such as the Small Business Grant Fund and Retail, Hospitality and Leisure Grant Fund; Local Authority Discretionary Grants Fund. Management have assured that counter fraud checks including tools such as 'Spotlight' are applied at different stages of the grant process, working in partnership with the dedicated agency (Department for Business, Energy, and Industrial Strategy - BEIS). Defined eligibility criteria and transparency of decision making is incorporated into processes. Post payment, the Government Grants Management Function and Counter Fraud Function will support local authorities to carry out post-event assurance work to identify high risk payments.</p>	<p>measures/methods to reach those members of the community who are not digitally connected and ensure urgent messages are conveyed.</p>
<p>(ii) <u>Risk</u> - Increased level of expenditure (including significant payments) is being incurred because of new operations or enhanced service demands, which provides increased opportunities for error or fraud, with associated financial losses and reputational damage</p>	(ii)3	(ii)3	<p>Compensating controls as a minimum where normal expected controls cannot be reasonably applied.</p>	<p>Counter fraud measures are considered as part of setting up new processes. Internal Audit issue advice as appropriate. Verification of controls operating as part of assurance work undertaken.</p>
<p>(iii) <u>Risk</u> - Staff and customers may be facing increased financial hardship, leading to an increased risk of fraudulent activities and a reduced</p>	(iii)3	(iii)2	<p>Financial reconciliation processes set up</p>	<p>Assurance reporting to the Government on the administration of Business Support Grants. Evolving government guidance on Grants published and circulated to local Councils setting out expectations.</p>

staff complement may weaken the control environment			/ developed as appropriate for new systems.	
<p><u>M. Reputation</u> Yellow Risk</p> <p>(i) <u>Risk</u> - An absence of timely and accurate communication to stakeholders may result in a lack of awareness / mis- information / loss of confidence</p> <p>(ii) <u>Risk</u> - People are not accessing the Services they require which may result in unknown surges and longer-term implications</p> <p>(iii) <u>Risk</u> - Adverse public opinion/media intervention may cause negative publicity with associated reputational impact.</p>	<p>(i)2</p> <p>(ii)2</p> <p>(iii)3</p>	<p>(i)3</p> <p>(ii)3</p> <p>(iii)3</p>	<p>Communications strategy. Various communication channels used to convey messages and engage with all stakeholders including social media.</p> <p>Regular, timely and accurate communications to key stakeholders including employees, Councillors, and the public (as well as targeting certain groups such as local businesses and vulnerable residents).</p> <p>The team have launched the Council's Shop Smart, Shop Local campaign, with a press release and social media graphics conveying key messages.</p> <p>Greater website accessibility in line with new regulations from 2020 (translation tools, range of new layouts).</p> <p>Weekly staff meetings, V-BEC, Spelnet, Councillor briefings (verbal and written), Business E-newsletter, newsletters, press releases etc.</p>	<p>Communications team pursue measures/methods to reach those members of the community who are not digitally connected and ensure urgent messages are conveyed. This may be through posters and mailouts in addition to the bulletin.</p> <p>COVID-19 Champions Group communicate important messages and work across all community and faith groups to address fake news (misinformation). One recent example relates to the circulation of material questioning the safety of Covid-19 vaccinations, targeting specific communities.</p>

		<p>businesses to understand their needs and promote various initiatives. (See separate risk category and associated actions for Economic impact)</p> <p>Some residents experiencing financial hardship – new Council Tax Relief Scheme implemented.</p> <p>Community Hub (Support 4 Spelthorne) set up during first wave from April 2020 to end of June 2020 specifically to assess the needs of the most vulnerable members of the local community. Parcels delivered to shielded residents in the Borough (high-risk shielded group category A) include food, toiletries, information, and advice. (Central government responsibility taken on by local authorities). Multi-agency collaboration in delivering the hub. Extensive data analysis exercise undertaken to identify category B vulnerable residents. In terms of the Community Hub, the Council was allocated £71,000 Emergency Assistance Grant. There was a decision made by the Section 151 Officer in conjunction with the Portfolio holder, to allocate the money between food banks</p>	
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			and organisations such as CAB.	
<p><u>O. Political</u> <u>Yellow Risk</u></p> <p>(i) <u>Risk</u> – Unclear political steer and strategic direction in the current environment may impact the effectiveness of decision making; political tensions and increasing organisational pressure from Councillors may result in a loss of focus around the Councils priorities</p> <p>(ii) <u>Risk</u> – Decisions may not align with Council priorities and responsibilities</p>	<p>(i)3</p> <p>(ii)3</p>	<p>(i)3</p> <p>(ii)3</p>	<p>Regular and timely communications with Councillors on the Authority’s COVID-19 response and recovery effort.</p> <p>During the first lockdown an Extraordinary Council Meeting was held 21 May 2020 to provide effective oversight of the Council’s emergency response to COVID-19.</p> <p>The Council continues to support the Community and businesses in delivering Services.</p>	<p>No specific action identified.</p>

Evaluating risks and Risk Matrix (Draft Risk Management Policy)

The Council evaluates its risks on a four-point scale on the likelihood of the risk occurring and the impact caused should the risk occur. Risks are evaluated with their controls in place. Risks are plotted on a risk matrix (see below) and prompt action is taken on those risks that fall into the red zone. Action is considered for “yellow” risks while “green” risks are regarded as acceptable. The above risks associated with COVID-19 (reference A to O) have been plotted on the graph below.

Impact	4 (Catastrophic)				A D
	3 (Major)		E(ii) G(i) H I(i) M(i,ii) N	E(i) G(ii,iii) I(ii) J K(i) L(ii) M(iii) O	B C F
	2 (Medium)		K(ii)	K(iii) L(i,iii)	
	1 (Trivial)				
		1 (Rare)	2 (Unlikely)	3 (Likely)	4 (Almost certain)
		Likelihood			

Coordinated by Internal Audit
February 2021