

## APPENDIX 1 - COVID-19 - Risk Assessment

(Reviewed and updated June 2021)

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 Scoring Matrix' and plotting of these risks to determine relative significance and prioritisation. Red risks are highlighted in sections A, C and F of the risk assessment.

Risk Area	Likelihood	Impact	Control Measures / Mitigation	Risk or Issue Action Plan & Further Considerations (Including Residual Risk)
<p><b>A. ECONOMY</b></p> <p><b>RED RISK</b></p> <p><u>Risk</u> - Economic recession having a detrimental impact locally, nationally and globally; long period of economic recovery has led to rising unemployment levels and increasing demands on a range of Council Services (e.g. noise and neighbourhood complaints, processing 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</p>	4	4	<p>The significant economic impact of COVID-19 for the Borough and any necessary actions arising will continue to be monitored.</p> <p>An Economic Development Recovery Plan has been developed as part of the Council's broader COVID-19 Recovery Plan. Actions will include quick wins and longer-term actions.</p> <p>Several initiatives are underway to gain greater insight into the wider economic impact of the pandemic and pursue necessary recovery actions, as follows:</p> <ol style="list-style-type: none"> <li>1. Survey to be issued to key major businesses in the Borough by mid July 2021 (with particular focus on the aviation sector) Recently acquired FAME software to ascertain top large businesses in the borough. A survey with smaller businesses has already been</li> </ol>	<p><b>ONGOING ACTION:</b> The economic slowdown and impact of COVID-19 for the Borough is being reviewed and reported.</p> <p>Treasury support for the furlough scheme is being monitored following the government's decision to delay the full reopening on 21 June by four weeks (Employers were due to make an increased contribution from July 2021). The latest delay to easing restrictions will further impact the hospitality sector. Currently handling six types of grants to support businesses, due to be paid by 30 June 2021. Additional Restrictions Grant of £1.6m (currently available) to be applied up to March 2022 and policy due to be in place from September 2021.</p> <p>Economic development elements of the draft recovery plan have been</p>

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<p>aviation industry being severely affected</p> <p><u>Risk</u> –Loss of Council income arising from reduced footfall in town centres such as Parking</p> <p><u>Risk</u> – Significant impact on the Economy due to subsequent lockdowns and deferred easing of restrictions</p> <p><u>Risk</u> - Recovery adversely impacted by concurrent flooding and further / extended lockdowns</p>			<p>conducted in relation to the needs for Additional Restriction Grants.</p> <ol style="list-style-type: none"> <li>2. A review of recent reports and surveys by relevant organisations to fully understand the adverse impact on employment and the aviation section.</li> <li>3. Council working with Enterprise M3 (Local Enterprise Partnership) to promote 'Job Fuse' as a means of brokering new job opportunities.</li> <li>4. The Council secured £43,000 match funding from EM3 for Bounce Back Streets</li> <li>5. Small business incubator opening ceremony in June 2021 and specialist support for new businesses is available. Incubator will be fully operational by end of July 2021.</li> <li>6. Multi-Agency Group set up and led by the Council with the DWP, businesses and A2D to focus on</li> </ol>	<p>considered by the Economic Development Committee on 22 June 2021, to cover:</p> <ul style="list-style-type: none"> <li>• Minimising unemployment</li> <li>• Developing skills and getting people back into work</li> <li>• Assisting future business growth and adaptation</li> <li>• Placemaking, regeneration and developing infrastructure</li> <li>• Attracting visitors back into the borough</li> </ul> <p><b>ACTION:</b> 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. This is under review.</p> <p><b>NEW ACTION</b> (June 2021) - ED strategy is due for a complete refresh by February 2022 (to cover 2022 - 2027).</p>

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			<p>supporting the 18–25-year-olds into employment.</p> <p>7. A successful partnership bid to the DWP for a Youth Hub will increase the local capacity to deliver employment and wellbeing support for NEETs and increase the accessibility to job, training, and employment opportunities.</p> <p>8. Business Rates Retention funds are available to help deliver necessary actions such as appointment of a Town Centres Manager who is undertaking an analysis of issues and risks and developing individual action plans.</p> <p>Financial support for businesses has been made available through Government schemes (Business Rates Phase 1 – Small Business Grants Fund (SBGF), Retail, Hospitality and Leisure Business Grants Fund (RHLGF) and the business rate holidays; Business Rate Phase 2 – the Local Authority Discretionary Grants Fund; Restart</p>	<p><b>NEW ACTION</b> (June 2021) - Dedicated committee set up to consider Economic Development matters – role will include scrutiny of budgets and grant spend. Following the Economic Development Committee on 22 June 2021, a task group has been set up to focus on the Additional Restrictions Grant scheme.</p>

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			<p>Grants streams 1 and 2; Furlough and Self –Employment schemes.</p> <p>The Council has worked with Openreach to continue to improve broadband speed and availability across Spelthorne.</p>	
<p><b>B. LOCAL OPERATING PROCEDURES, POLICIES &amp; PLANS</b></p> <p><b>AMBER RISK</b></p> <p>(RAG rating decreased to an Amber rating on basis of associated plans / policies / management etc)</p> <p><u>Risk</u> – Government guidance on Second or subsequent waves vague / confusing for residents resulting in non-compliance to regulations / Lack of Upper Tier engagement with Lower Tier / Exit Strategy unclear / Third</p>	3	3	<p>Applied Resilience Interim Lessons Learned Debrief on COVID-19 1<sup>st</sup> 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</p> <p>Communication to residents / staff / Councillors updated on Council website / social media / Council meetings.</p>	<p><b>ONGOING ACTION:</b> Upper Tier Authority to engage more effectively with districts and boroughs.</p> <p>MAT and VBEC addressing the logistics around Test and Trace / Mass and surge testing rollout / vaccination strategy and collaborative working with local partners / Exit Strategy (including resources)</p> <p>Residual Risk: 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.</p>

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wave lockdown			<p>Corporate engagement with Operation Taragon briefings (Non-COVID winter pressures)</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>Internal Recovery Plan</p>	<p>aviation)</p> <p>Resumption planning and seeking positive opportunities</p>
<p><b>C. FINANCIAL SUSTAINABILITY AND RESILIENCE</b></p> <p><b>RED RISK</b></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 funding</p>	4	3	<p>An independent peer led review of the Council's approach to finance was undertaken and formally reported 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>Accountancy liaising with services over financial monitoring (income and expenditure implications, and Business Rates and Council Tax collection).</p>	<p><b>ONGOING MONITORING:</b> 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><b>ONGOING ACTION:</b> Managers will be continuing to consider the financial</p>

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<p>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 negative impact on residents if Services are</p>			<p>Accounting for all expenditure relating to COVID-19. Coding and reporting requirements communicated to services co-ordinated by Accountancy.</p> <p>Financial impact assessment /scenario modelling is undertaken regularly, including worst, mid-range, and best-case assumptions. 10-year scenario modelling of worst case COVID-19 scenarios undertaken.</p> <p>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 &amp; Boroughs to collate financial data on the impact of COVID-19. Following lobbying and other work-streams such as Delta reporting, various tranches of Government grants have been released over the last year.</p> <p>Delta returns submitted include details of loss of income and additional costs</p>	<p>impact of COVID-19 on services, because of lockdown three and the delay in lifting full restrictions.</p> <p><b>ONGOING ACTION:</b> Continued modelling of the effects of COVID-19 on the Council's finances. Expected case scenarios also highlighted.</p> <p><b>NEW ACTION (JUNE 2021)</b> - Individual business plan for each of the Council's investment assets are being developed and will be completed in next 2 months.</p> <p><b>ONGOING ACTION:</b> Development Sub Committee of Corporate Policy and Resources will receive regular monitoring reports for scrutiny on the performance of the Investment portfolio.</p> <p><b>ONGOING ACTION:</b> 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</p>

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unable to meet need because of financial constraints			<p>incurred during COVID-19. Surrey Treasurers liaising on fortnightly basis to share information, monitor tax base and collection fund deficits and impacts on the current/future budgets.</p> <p>Sinking funds already set aside for commercial investments as a prudent measure. Sinking Funds methodology presented to Overview and Scrutiny. Continued weekly monitoring of commercial asset income due/any shortfalls anticipated. For 2020/21 the rental income collection rate was 98.17 % (as at 16.6.21)</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>Government, following slippage of final stage of Route Map, has extended moratorium on commercial property evictions. Impact will be monitored.</p>	<p>challenging.</p> <p>Deferral by a year of Fair Funding Review and Business Rates 75% retention will help.</p> <p><b>NEW ACTION</b> (JUNE 2021) - Courts scheduled to reconvene income recovery action from end of July.</p> <p><b>NEW ACTION</b> (JUNE 2021) - Bluebox system is being used for raising, collecting, and monitoring single tenant rents in investment properties from June 2021.</p> <p>At present moratorium on commercial property evictions not anticipated to have an impact for the Council but this will require ongoing monitoring.</p>

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			<p>A weekly review of all our investment and regeneration assets (including 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 strengthened 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>Leisure centre operators will require some support to assist them with recovery process. Some provision built into budget for first quarter of 2021-22. Activity levels and financial figures (open book approach being pursued)</p>	

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			<p>being monitored. Currently figures since reopening in April 2021 are improving.</p> <p>Fully refreshed Reserves Strategy (2021). Reserves Strategy and medium-term financial strategy reported to Cabinet in January 2021. Refreshing of the medium term financial strategy is planned as well as bringing forward the budget process .</p>	
<p>D. Insufficient Capacity <b>AMBER RISK (RAG rating moved from RED to AMBER )</b></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</p>	4	3	<p>The Council has moved to a Committee system and completed a review of the Council Constitution. 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. Staff redeployment policy. Training and risk assessments for redeployed staff.</p> <p>Surplus capacity is however becoming stretched with service needs.</p>	<p>Several Extraordinary Committee meetings took place during COVID-19 crisis. Political demands / challenges to be addressed.</p> <p><b>ONGOING ACTION:</b> Service Managers to highlight and quantify backlog work areas to assist recovery phase.</p> <p><b>NEW ACTION (JUNE 2021)</b> - Staff resources in some areas are being strengthened for 2021/2022 with recruitment underway. This may alleviate corporate capacity being severely stretched especially as Government requests for Covid</p>

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<p>(Council Tax / Business Rates) / Independent Living / Housing / Benefits</p> <p>(iii) <u>Risk</u> - Essential Services are overwhelmed when they return to the 'new normal'</p>			<p>Management consideration of workloads and encouraged to remain alert to stress related risks.</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, 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. Care First have run several support webinars for staff.</p> <p>To assist employees financially in need, a SAFE scheme is in place to help those most in need.</p>	<p>related work continues (requires monitoring)</p> <p><b>ONGOING ACTION:</b> 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 working staff.</p>
<b>E. (i) BUSINESS CONTINUITY AND OPERATIONAL RESILIENCE</b>	3	3	<p>Business Continuity Plans invoked.</p> <p>V-BEC (Virtual Borough Emergency Centre) forum with daily briefings for</p>	<p><b>ONGOING ACTION:</b> Continued as part of emergency response V-BEC meetings to manage ongoing impacts of the pandemic.</p>

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<p><b>AMBER RISK</b></p> <p><u>Risk</u> – Unable to deliver critical, essential, or non-essential Council Services, resulting in diminished provision to community / stakeholders</p>			<p>first 110 days of the emergency.</p> <p>Collaboration across Services and with the Local Resilience forum.</p> <p>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.</p> <p>There are exceptions for some key frontline workers where remote 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</p>	<p><b>ONGOING ACTION:</b> Continuity Planning 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 have been reviewed and strengthened for these and other areas.</p>

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			<p>virtual meetings. IT helpdesk provision / equipment needs, and kit reviewed.</p> <p>As part of the COVID-19 Recovery Policy, all staff who can work from home are doing so.</p> <p>Additional ICT kit and furniture purchased.</p> <p>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>(ii) <b>BUSINESS CONTINUITY AND OPERATIONAL RESILIENCE</b></p> <p><b>AMBER RISK</b></p> <p><u>Risk</u> – Inadequate or delayed preparation for recovery phase and</p>	2	3	<p>Recovery planning has been considered with an acknowledgement of entering 'a new normal' rather than reverting to how things were operating prior to the pandemic.</p> <p>The Continuous Improvement Team have consulted managers across all services on arrangements in planning for recovery. There are increasing</p>	<p>Since the start of COVID-19, 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</p>

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resumption planning, impacting on Service delivery			<p>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>Detailed Recovery plan covering staff, residents and wider communities.</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>Staff consultation completed with surveys issued to ascertain feedback on working arrangements. Councillors have also been consulted.</p>	<p>normality once full restrictions are relaxed as part of the Government's roadmap remains challenging due to ongoing uncertainty, high potential for new variants of the virus to continue to emerge, further outbreak and review of timescales in delivering the mass vaccination programme across all adults and high risk categories.</p> <p><b>ONGOING ACTION:</b> Continuing to fully develop detailed plans for the recovery process for services, as well as support for businesses and residents. Internal Recovery plan paused until 19 July due to Government deferring full easing of restrictions.</p> <p><b>ONGOING ACTION:</b> Re-engagement with residents, businesses, and stakeholders as part of recovery phase to review longer term impact.</p> <p><b>NEW ACTION (JUNE 2021)</b> - The results of the recent staff survey have been analysed and communicated, informing future recovery policy and</p>

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				plans for hybrid working arrangements. Managers will be taking account of specific business needs across Services in planning recovery.
<p><b>F. HEALTH AND WELLBEING / SAFETY</b></p> <p><b>RED RISK</b></p> <p><b>(RAG RATING INCREASED at last review (March) due to increased transmission rates / impact of new variants – this remains the case)</b></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 physical</p>	(i, ii, iii, iv) 4	(i, ii, iii, iv) 4	<p>Home Working arrangements continue as Covid cases are rising with the latest Delta variant. Staff requested to complete refreshed annual remote working assessment and report any concerns arising. Business travel minimised. Council has legal responsibility to protect staff, Councillors, residents etc.</p> <p>Lateral flow testing twice a week is a requirement for Officers and Members going into the office or workplace.</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>A residual risk remains as the possibility of virus transmission cannot be eliminated. This has further accelerated with new and emerging variants. Vaccine efficacy may be further impacted with new variants.</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. Lateral flow testing is being encouraged across staff and the local community.</p> <p><b>ONGOING ACTION:</b> Spelthorne's Health and Safety guidance will continue be reviewed to reflect any developments to national guidance. The team consider there to be a rise in aggressive behaviour as public</p>

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<p>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>(iv) <u>Risk</u> - Pandemic experience presents</p>			<p>The Council has a contract in place for the provision of PPE, this has eliminated the need for ad-hoc supplies. The Council currently holds a stable supply in stock.</p> <p>COVID-19 testing is available where staff and Councillors show symptoms / Household risk identified and guidance has been circulated.</p> <p>Health and Safety Risk Assessments undertaken for key areas.</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,</p>	<p>freedoms increase with the lifting of restrictions.</p> <p><b>NEW ACTION</b> (June 2021) - Review of PPE stock levels should there be a requirement for surge testing.</p> <p><b>ONGOING ACTION:</b> Contact Track and Tracing system to support protection measures and Environmental Health to provide a key role. This will need to be supplemented with self-testing.</p> <p><b>ONGOING ISSUE:</b> The Government's Track and Trace programme has the potential to isolate large numbers of the depot operational workforce. Operating in bubbles / groups is underway to minimise loss of whole crew.</p> <p><b>ONGOING ACTION:</b> Monitoring of staff retention measures and reiterating values around respecting and supporting staff.</p> <p><b>Q. Is there any monitoring of "long</b></p>

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<p>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>Personal Protective Equipment (PPE) for staff involved in high-risk activities. 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</p>	<p>Covid symptoms to assess the impact on the Council's workforce and residents"?</p>

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			<p>available to assist employees where eligible. Employee assistance scheme 'Care First' launched and promoted.</p> <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 approved for 2021/22 and additional payment as token of staff appreciation for their commitment during the pandemic.</p>	
<p><b>G. REMOTE WORKING / PERFORMANCE MANAGEMENT / SUSTAINABILITY AND CLIMATE CHANGE</b></p> <p><b>AMBER RISK</b></p> <p>(i) <u>Risk</u> – reduced visibility and oversight of output / outcomes potentially leading to lower productivity.</p>	(i)2	(i)3	<p>Additional approaches to managing staff in the remote working environment requires regular communication and visibility of tasks being undertaken, given that such working arrangements will continue. Managers have received training on effective remote team management.</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</p>	<p>Positive lessons from extended remote working have been assessed and examined in moving to a 'new normal' and hybrid model. proposed to coincide with post COVID-19/gradual easing of restrictions/ longer term uncertainty.</p> <p><b>ACTION:</b> HR developing new performance monitoring requirements for staff. (Q. Has this action been completed?)</p> <p>The Council has identified and applied</p>

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<p>(ii) <u>Opportunity</u> - On the contrary, there may be opportunities for increased productivity and efficiencies to be 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>	<p>(ii)3</p> <p>(iii)3</p>	<p>(ii)3</p> <p>(iii)3</p>	<p>delivered from. Performance monitoring and analysing the impacts of Covid on service delivery.</p> <p>Climate Emergency declared and Environmental and Sustainability Committee established under new Committee system. Approval of green initiatives fund of £747k. The Environment and Sustainability Committee will determine how to prioritise this Budget provision.</p>	<p>positives, around new ways of working, as part of the 'new normal'. Corporate Lead to build into action plans and promote benefits to staff. (Q. Is this action completed or ongoing?)</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><b>NEW ACTION</b> (JUNE 2021) - Further strengthening of resources to support delivery of green initiatives and related objectives in seizing positive opportunities.</p>
<p><b>H. INSUFFICIENT SERVICE CAPACITY</b> to deal with potentially increased levels of fatalities in the community arising from COVID-19 infections. <b>AMBER RISK</b></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 as service capacity levels were not put under strain and burials are back to pre-covid levels.</p>

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<p><b>I. TECHNOLOGICAL</b></p> <p><b>AMBER RISK</b></p> <p>(i) <u>Risk</u> - Disruption in off-site data storages or capacity impacting on service delivery e.g., ability to provide Customers and stakeholders with ongoing technical service is reduced</p> <p>(ii) <u>Risk</u> - Cyber and security threats heightened in the current environment resulting in Council systems being compromised and data loss</p>	<p>(i) 2</p> <p>(ii) 3</p>	<p>(i) 3</p> <p>(ii) 3</p>	<p>ICT are closely monitoring systems. They quickly managed to get people working from home at the outset and the network has performed well and been maintained for VDI use.</p> <p>Regular reports on capacity and usage have been produced to demonstrate not only capacity but peak times of demand.</p> <p>Customers are receiving the same level of service but are undertaking their engagement via the web or telephone. For the web further e-forms have been developed to make it easier for the customer to engage with the Council.</p> <p>New telephony system for Customer Services implemented.</p> <p>All updates and fixes that come through are added to the system to maintain resilience to cyber-attacks. Monthly training is issued to staff on various cyber threats / attacks and carried out a phishing campaign across the organisation to identify vulnerabilities.</p>	<p>ICT maintain a monitoring function to ensure the system is functioning and resilience maintained.</p> <p>Security vulnerabilities identified from the Phishing exercise are being addressed <b>Q. Have these been completed?</b></p> <p><b>NEW ACTION (JULY 2021):</b> An additional security measure to prevent anyone spoofing spelthorne.gov.uk (i.e. sending out emails pretending to be from Spelthorne) is to be introduced.</p>

## APPENDIX 1 - COVID-19 - Risk Assessment

(Reviewed and updated June 2021)

Risk Area	Likelihood	Impact	Control Measures / Mitigation	Risk or Issue Action Plan & Further Considerations (Including Residual Risk)
			Advice has been distributed on the use of other systems for live chats etc. to prevent insecure platforms being used. The use of any external systems still must come through Spelthorne's systems and the security measures in place identify "unsafe" sites.	
<p><b>J. LEGAL OR REGULATORY COMPLIANCE</b></p> <p><b>AMBER RISK</b></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</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><b>ONGOING ACTIONS:</b> Awareness raising continues as some services do not consider involving 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>

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(Reviewed and updated June 2021)

Risk Area	Likelihood	Impact	Control Measures / Mitigation	Risk or Issue Action Plan & Further Considerations (Including Residual Risk)
<p>systems and processes</p> <p>(iii) Collecting and processing new types of sensitive information about individuals</p> <p>(iv) Increased Remote working</p> <p>(v) Phishing and cyber-attacks heightened (see earlier section on 'Technological risk')</p>				
<p><b>K. SUPPLIERS AND CONTRACTORS / 3<sup>rd</sup> PARTY RELATIONSHIPS)</b></p> <p><b>AMBER AND GREEN RISK</b></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.</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><b>ONGOING ACTION:</b> 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>Establish whether the Council's key suppliers / service providers have appropriate resilience plans for</p>

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Companies may no longer be able to trade and unable to recover from the crises.				delivering critical business and that these are being monitored (Q. Is this action completed?)
(ii) <u>Risk</u> - Possible claims from Contractors due to delays to work programme caused by COVID-19.	(ii)2	(ii) 2	Government schemes to assist businesses stay afloat such as Business Support grants, Furlough. Discretionary Grants Scheme launched to help small and micro businesses.	
(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.	(iii)3	(iii)2	<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>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>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)</p>	

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			are required.	
<b>L. FRAUD / ERROR / THEFT</b>  <b>AMBER RISK</b>  (i) <u>Risk</u> - COVID-19 represents yet another opportunity for scammers and professional fraudsters. They may also target vulnerable members of the community.  (ii) <u>Risk</u> - Increased level of expenditure (including significant payments) is being incurred because of new operations or enhanced service demands including the administration of multiple grant schemes, which provides increased opportunities for error or fraud, with associated financial losses and reputational damage	(i)3           (ii)3	(i)2           (ii)3	<p>Communications alerting staff and residents of potential scams and heightened risk of fraud.</p> <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.</p> <p>Management review and 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).</p> <p>Defined eligibility criteria and transparency of decision making is incorporated into processes. Post payment, the Government Grants Management Function and Counter Fraud Function support local authorities to carry out post-event assurance work</p>	<p><b>ACTIONED &amp; ONGOING:</b> Continuous monitoring as new risks and processes emerge. Communications team pursue measures/methods to reach those members of the community who are not digitally connected and ensure urgent messages are conveyed.</p> <p><b>ACTIONED &amp; ONGOING:</b> 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><b>ACTIONED &amp; ONGOING:</b> Periodical 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>

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(iii) <u>Risk</u> - Staff and customers may be facing increased financial hardship, leading to an increased risk of fraudulent activities and a reduced staff complement may weaken the control environment	(iii)3	(iii)2	<p>to identify high risk payments.</p> <p>Compensating controls as a minimum where normal expected controls cannot be reasonably applied.</p> <p>Financial reconciliation processes set up / developed as appropriate for new systems.</p>	
<p><b>M. REPUTATION</b></p> <p><b>AMBER RISK</b></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>(i)2</p> <p>(ii)2</p>	<p>(i)3</p> <p>(ii)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. Greater website accessibility in line with new regulations from 2020 (translation</p>	<p><b>ACTIONED &amp; ONGOING:</b></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).</p>

(Reviewed and updated June 2021)

[illegible]

## APPENDIX 1 - COVID-19 - Risk Assessment

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Government lifting of bans on tenant evictions presents new risks for local councils in terms of managing the likely impact on homelessness and housing service provision <b>(NEW RISK ADDED JUNE 2021)</b>	(iii) 3	(iii) 3	<p>leading role in supporting local businesses, for example through administering the Business Support Grant Scheme and Local Authority Discretionary Grants, working with 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 –Council Tax Relief Scheme implemented.</p> <p>In terms of the Community Hub, the Council was allocated £71,000 Emergency Assistance Grant. Allocated the money between food banks and organisations such as CAB.</p>	
<p><b>O. POLITICAL</b></p> <p><b>AMBER RISK</b></p> <p>(i) <u>Risk</u> – Unclear political steer and strategic direction in the current environment may impact the</p>	(i)3	(i)3	<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</p>	No specific action identified.

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<p>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>	(ii)3	(ii)3	<p>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>New Committee system of governance replaced Cabinet model of decision making. Training delivered and new Committees established.</p>	

## APPENDIX 1 - COVID-19 - Risk Assessment

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### Evaluating risks and Risk Matrix (In accordance with the 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 “amber” 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.

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