

New Risk ID	Risk Level	Directorate	Risk Title	Risk Description	Risk Owner Job Title	Primary Risk Category	Controls and Mitigations in Place	Residual Risk - Total	Response Option	Treatment Actions	Direction of Travel (from previous quarter)	Current Quarter Review Summary
STR001	Strategic	Adults	Adults safeguarding	Council services and partners not effectively managing their relevant safeguarding risks could lead to a safeguarding incident resulting in potential harm to individuals and/or families, potential legal challenge, resident dissatisfaction and public scrutiny.	Executive Director - Adults and Health	Statutory Duty	<ol style="list-style-type: none"> 1. Barnet council and partners have signed up to the multi-London agency procedures safeguarding policies and procedures and adopted across London in Q1 19/20. These were updated in 20/21, and represent best practice. 2. The council has a comprehensive Learning and Development programme for social care practitioners to support high quality safeguarding practice. 3. A quality assurance framework is in place which includes independent case audit programme, supervision audits and direct observations of staff and self-audits to provide reassurance that practice quality is high and identify areas for improvement. 4. A quality board meets monthly to review the findings from mechanisms in the quality assurance framework and track any improvement against actions agreed. 5. Performance monitoring of safeguarding, happens monthly and quarterly by the adult social care management team and the performance sub-group of Barnet's safeguarding adults board. 6. Monthly reporting to executive director along with ad hoc reporting when necessary with clear roles and responsibilities are in place. 7. The adult MASH has been in place since June 2019 to more effectively bring partners together in safeguarding work. 8. Professional lead for safeguarding and clear responsibilities for those carrying out safeguarding inquiries through line management and Safeguarding Adults Manager (SAM). 	12	Tolerate	There are no further actions at this time. The risk has reached its target score and is being tolerated with the existing controls and mitigations in place.	Same	Work continues with the Learning and Development programme, quality assurance framework, performance monitoring and adherence to London procedures.
STR002	Strategic	Adults	Market capacity	Decreases in the capacity of the social care market (private or voluntary) due to recruitment challenges, quality concerns, closure or staff leaving the sector could impact service delivery resulting in a failure to meet statutory duties and add additional pressure on staffing and finances.	Executive Director - Adults and Health	Statutory Duty	<ol style="list-style-type: none"> 1. For all contracted services due diligence is undertaken at the start of each contract to ensure quality and sustainability of providers. 2. Regular contract monitoring is undertaken with providers, with more visits to higher risk providers. There is also a clear provider failure/closure approach to manage closure of homes and safe transition of service users if required. More streamlined and better focus on quality. 3. Working across North Central London to share ideas/learning on quality improvement programmes, including collaborative work with Enfield, Haringey, Camden and Islington councils on residential and nursing care supply, commissioning and quality assurance. 4. Ongoing work to monitor the sustainability of the sector and explore best use of council resources to support this (including the awarding of inflationary uplifts) 5. Specific support offer has been in place to support providers with Covid-19; support continues to be made available to care providers. 6. Regular reviews of provider business continuity plans. 7. Recruitment campaign to support sector with recruitment challenges. 	9	Treat	<ol style="list-style-type: none"> 1. Intensive management of provider concerns to lift suspensions when safe to do so. 2. Regular reviews of market availability and assessment of DIOC. 3. Work alongside the NCL programme on a range of measures to address market gaps. 4. Continuing to incorporate sustainability 'health checks' into regular QA discussions with providers. 	Same	Market capacity remains pressured but no serious concerns. There is one care home and a supported living provider in provider concerns. Care Quality Advisors are visiting on a weekly basis to monitor the services and risks to the residents, whilst also supporting with any improvements. Performance with the newly transferred community equipment service continues to improve with new provider NRS, under the London Consortium arrangements. The Royal Borough of Kensington and Chelsea maintain regular meetings as the lead for the consortium and are overseeing the improvement work alongside Barnet and NCL commissioners. However, the NCL programme board has agreed to begin developing an options appraisal to consider long term plans for equipment services, given the recognised market fragility.
STR003	Strategic	Adults	Relationship with healthcare providers and partner organisations	Ineffective relationships with healthcare providers and partner organisations such as the NHS could lead to an inability to manage demand resulting in a failure to meet statutory duties and safeguarding of vulnerable residents.	Executive Director - Adults and Health	Statutory Duty	<ol style="list-style-type: none"> 1. Joint planning and co-ordination work takes place through the Joint Health and Wellbeing Strategy and other Health and Wellbeing Board work, and at North Central London level through the Integrated Care System. 2. At the borough level, there is close working through the borough partnership, the joint commissioning unit, the health and wellbeing executive group and the urgent and emergency care board which actively manage plans to control demand pressures in the system. 3. ASC operational managers work with the NHS on the daily basis, to manage demand and pressures. 4. Active monitoring of referral and activity data and discussing any concerns with health partners. 5. Working as an integral part of the integrated discharge team and closely monitoring discharge data. 	12	Treat	<ol style="list-style-type: none"> 1. Joint work across NHS and councils in NCL to improve hospital discharge processes and ensure financial sustainability. 2. Strategic engagement in development of NCL Integrated Care System. 3. Through the borough-focused Integrated Care Partnership work with health partners to help shape how the health and care system develops and improves locally. 4. Shared priority setting and joint work through Joint Commissioning workplan and objectives. 	Same	Further progress has been made on the various development projects underway. This includes detailed design of how integrated hospital discharge teams should be working; creation of standard operating procedures for Mental Health rehabilitation; and priority setting for a joint approach to neighbourhood working. Culture change work is commencing with NHS partners to ensure the right care is put in place and that clinical staff do not set inappropriate expectations for residents and families.
STR005	Strategic	Assurance	Safety from anti-social behaviour and crime (including violence and abuse)	Anti-social behaviour and crime (including hate crime) could lead to unsafe environments and perceptions of safety resulting in harm to individuals, community tension and increased demand for services.	Executive Director - Assurance	Statutory Duty	<ol style="list-style-type: none"> 1. Working with Barnet Safer Community Partnership, including to deliver the knife crime action plan. 2. Working in partnership with the police, including to monitor tensions and local issues and response. 3. Environmental enforcement (e.g. litter and flyposting), including with Regulatory Services and Barnet Homes (e.g. noise and pests) and joint action across Estates 4. Effective use of CCTV across the borough. 5. Working with the Barnet Multi Faith Forum (BMFF) and Community Together Network to increase engagement with the community. 6. Delivering initiatives to encourage and celebrate cohesion. 	8	Tolerate	There are no further actions at this time. The risk has reached its target score and is being tolerated with the existing controls and mitigations in place.	Same	Partnership working continues to be exemplary; the team are always seeking out new partners.
STR004	Strategic	Assurance	Response to emergency or incident	Insufficient resilience management (e.g. Business Continuity, Emergency (BC) Planning, Health & Safety) could lead to the council being unable to respond effectively to an emergency or incident resulting in disruption to services; harm to staff and/or the public; and legal challenge.	Executive Director - Assurance	Business Continuity	<ol style="list-style-type: none"> 1. Detailed Contingency Management Plans with resource identified to respond to both external civic emergencies and internal business continuity incidents. 2. Business Continuity planning and response operating on the Emergency Response model with support and engagement from service BC leads. Noting a full review and update of the strategy, plan and response arrangements is being implemented following the November 2023 Audit. 3. Corporate Health and Safety Management system in place including Health and Safety Policy, risk assessment and review, training, monitoring and reporting performance. 4. Professional advice and support provided by Head of SHaW (statutory H&S officer) and H&S BP's. 5. Continue to maintain current level of trained response arrangements. 	16	Treat	1. Implement all actions arising from the Business Continuity Audit within agreed timeframes	Increased	Whilst our emergency planning and response to civil emergencies and business continuity incidents remains resilient, the Business Continuity Audit report dated November 2023 highlighted three high and two medium recommendations around documentation and procedures leading to an overall assessment of Limited Assurance. Accordingly, we have increased the likelihood of this risk from a 3 to a 4. The five recommendations have been converted into an action plan with timeframes and work is already being progressed. Monthly monitoring of progress has been introduced with the Executive Director of Assurance sponsoring the project. The risk score will be reviewed each quarter and reduced when there is sufficient movement in the project and greater assurance in our documentation.
STR006	Strategic	Children's	Strengthening Children's safeguarding	Insufficient safeguarding arrangements across the council could lead to children/young people suffering significant harm resulting in serious consequences to the child/young person and the council failing to meet its statutory duties.	Executive Director - Children's Services	Statutory Duty	<ol style="list-style-type: none"> 1. Delivery of robust delivery plan to take recommendations forward. 2. Monitoring of impact of delivery plan on outputs and outcomes for children, young people and families, and taking action if outcomes don't improve as expected. 3. Refresh of the Barnet Multiagency Safeguarding Arrangements (MASA) membership and work programme. 4. Leadership from the Chief Executive, Borough Commander and Lead Officer in the CCG to drive forward action plan, and galvanise resources from across the council and partners to support further improvement (including support services). 5. Strong communication/engagement plan at all levels of the partnership and organisation, to keep the focus, energy and momentum at all levels. 6. Annual scrutiny report by red Quadrant. 7. Annual LSCP report and business plan. 	12	Tolerate	There are no further actions at this time. The risk has reached its target score and is being tolerated with the existing controls and mitigations in place.	Same	The Healthy Child Programme is being transferred to a new provider in April 2024.
STR007	Strategic	Children's	Neglecting corporate parenting duty	The council and its partners neglecting to fulfil their duty as Corporate Parents could lead to poorer outcomes for children in care and care leavers across key areas including education, health and placements resulting in an increased gap between children in care/care leavers and their peers in the shorter term and poorer outcomes in the longer term.	Executive Director - Children's Services	Statutory Duty	<ol style="list-style-type: none"> 1. A joint motion by councillors to the Full Council in November 2015 resulted in the Barnet's Pledge for Children in Care and Care Leavers. The Corporate Parenting Strategy was developed with our Children in Care Council to ensure their voice is central in the development of services. The commissioned advocacy service is active across Family Services. The Virtual School has invested in a strong structure and resources are targeted to improve outcomes, through the Personal Education Plan (PEP) process. 2. The 'Onwards and Upwards' care-leaving service is located in a town centre, where care leavers can access support and a broad range of multi-agency services. Strategic links have been developed with key partners. 3. A multi-agency forum, Corporate Parenting Officers Group, was developed in 2017 to track and monitor planning for children in care and care leavers. 4. Members at Full Council agreed new arrangements for the Corporate Parenting Advisory Group at its meeting on 6 March 2018. 	9	Treat	<ol style="list-style-type: none"> 1. Implement Corporate Parenting Strategy. 2. Corporate Parenting Officer's Group Action Plan to monitor implementation of strategy. 4. Training for all Members on Corporate Parenting undertaken. 5. Embedded training for members of the council. 6. Deliver the new corporate parenting pledge. 7. Ongoing auditing of practice. 	Same	The new Corporate Parenting Strategy is being progressed, with workshops being planned with children and young people to inform the strategy. The Bright spot surveys were completed in December 2023 and the analysis will inform the strategy. Training for council members is planned and will continue to be embedded to ensure new members receive the necessary information on Corporate Parenting.
STR008	Strategic	Customer & Place	Environmental sustainability	Climate change could lead to negative long-term consequences to the local environment (such as flooding) and public health resulting in statutory environmental duties and targets not being met, financial and health consequences and not protecting the environment for future generations.	Deputy Chief Executive	Business Continuity	1. A Sustainability Framework and associated actions have been developed which aim to bring the council and its operations to Net Zero by 2030, and borough as soon as possible after this	16	Treat	<ol style="list-style-type: none"> 1. Delivery of Sustainability Action Plan ongoing - nine themes across the portfolio have been identified and actions being managed by AD (or above). 2. Continue to work alongside other local authorities and Health colleagues to develop a framework for resilience and adaptation (London Councils workstream). 3. Develop the council's Resilience & Adaptation Plan. 	Increased	At a regional level, Barnet is leading on the data framework action, under the London Council's Resilient and Green Workstream. As part of this work, a meeting was held with Public Health London and a workshop is being planned for early 2024 to agree data metrics between health and local government. Initial discussions have also taken place with Bloomberg who led on the London Climate risk maps with a view to developing them further at a local level. Formal response to Citizens' Assembly recommendations was delivered in November 2023, this includes a focus on establishing community action groups. The risk shows an increase due to a more in-depth review of the profiling of this risk (the inherent and residual scores have been adjusted).

New Risk ID	Risk Level	Directorate	Risk Title	Risk Description	Risk Owner Job Title	Primary Risk Category	Controls and Mitigations in Place	Residual Risk - Total	Response Option	Treatment Actions	Direction of Travel (from previous quarter)	Current Quarter Review Summary
STR014	Strategic	Customer & Place	Building safety	Lack of a robust process to quality assure building contractors could lead to a breach of statutory compliance, health and safety issues resulting in reputational damage to the council, risk of harm or death, delays to delivery of outcomes and financial implications.	Deputy Chief Executive	Health & Safety	<ol style="list-style-type: none"> 1. Health and Safety/quality prioritised as part of scoring during procurement/tender processes. Includes additional background checks, previous performance, exchange of risk information and consideration of proposals to manage risk where necessary. 2. Health and Safety/quality forms a key element of the council's project delivery gateway process, from initiation all the way through to delivery and handover. 3. Additional assurance as and when necessary, through independent assurance i.e., technical team. 4. During construction process on larger schemes the technical team will include a New Engineering Contract (NEC) Supervisor to ensure Health and Safety is being managed appropriately on site and reported correctly. 5. On smaller schemes Construction Design Management and method statements are requested prior to the start of works. 6. Developed CDM checklist to be used as part of the project management tools. 	8	Treat	<ol style="list-style-type: none"> 1. Construction Design Management awareness and LBB project H&S Requirements module to be incorporated into the POD for development project managers. 2. Rollout the CDM assessment checklist to all project managers and continue to increase awareness of the main issues. 	Same	Health & Safety leads have developed a checklist to assist project managers to enable assessment of the project and expose any weakness in the quality assessment.
STR013	Strategic	Customer & Place	Cyber security - business continuity, staff training and governance	A cyber attack could lead to the council being unable to operate resulting in widescale disruption and financial cost.	Director - Transformation	Business Continuity	<ol style="list-style-type: none"> 1. Monthly contract management meetings in place to manage the contract and relationship with CSG. 2. Monthly Partnership Operations Board for escalation of any issues identified. 3. Joint risk being managed by CSG - IT with controls/mitigations in place. 4. Learning portal - mandatory training on Information Management/cyber security for staff. 5. Remote working audit completed. 6. Regular audits undertaken. 7. PCI (payment card industry) accreditation. 8. Management and oversight of the actions being carried out by CSG on the council's behalf (captured in the joint risk register). 9. BC leads planning session took place, which ran through a scenario of a cyber security event, to help services prepare mitigations 10. Remote working audit - implemented recommendations working abroad policy and external websites. 11. Simulated phish went to all staff, and recommendations will be produced off the back of findings. 12. PwC audit completed on supply chain. 13. Implemented website health recommendations. 14. Microsoft 365 health check completed and recommendations implemented including updating password rules. 15. Implemented recommendations from simulated phish campaign. 	15	Treat	<ol style="list-style-type: none"> 1. Enhance training through Barnet's Learning Management System (or POD - Place of Development). 2. Promote information and security training. 3. Implement with business continuity lead action plan. 4. Implement recommendations from PwC audit on supply chain risk. 5. Develop additional scenario based training to roll out to senior staff (funding provided by London Councils). 6. Implement DLUHC action plan. 7. Following November 2023 PwC business continuity audit report, link with service business continuity leads to ensure updated reports reflect cyber risk and actions. 	Same	A phishing simulation exercise took place in October 2023 for all staff and partners and showed improvement, with less staff clicking on links and more staff reporting the email as phishing. These exercises will continue to be run quarterly. The mandatory training is being enhanced to include cyber, and specific training for the Council Management Team (CMT) and councillors is being introduced early in Q4 2023/24.
STR009	Strategic	Customer & Place	Unmet resident expectations	Lack of joined up systems and processes across the council and strategic partners, skilled staff or training could lead to resident expectations not being met resulting in a poor resident experience or quality of service.	Deputy Chief Executive	Finance	<ol style="list-style-type: none"> 1. Demand reduction initiatives with high volume services and CSG agreed with timelines for delivery. 2. Resident Experience programme delivering a range of online improvements which should limit the need for residents to contact the council. 3. Safeguards in place to protect service areas that are used by the most vulnerable residents and those that cannot get online. 4. Monthly web performance group meetings are held. 5. Accessibility reports are run to address shortcomings in accessing content for customers with accessibility needs. 6. Resident Experience Programme (REP) in place to mitigate this risk. 7. Rolled out Amazon Web Service platform to help manage customer services calls. 8. Monthly reporting to members via the Transformation Programme. 9. Completed soft market testing. 	9	Treat	<ol style="list-style-type: none"> 1. Continue with the Residents Experience Programme (REP). 2. Implement REP business case. 3. Redesign of front door for vulnerable and complex needs residents. 4. Finish pilot for holistic support 5. On completion of 4, review and implement findings. 6. Procure tool to handle cross-cutting customer service. 	Reduced	We have completed soft market testing, and agreed a procurement route. We are aiming to procure a tool by the end of February 2024. A pilot for holistic support was started, and will run from December 2023 until February 2024. Following the pilot, we will implement any findings from Q4 2023/24. The scoring has been reduced from Q2 2023/24 (impact to 3 from 4) to better reflect the risk profile. This workstream is monitored through monthly reporting via the Transformation Programme.
STR028	Strategic	Customer & Place	Affordability of Capital Programme	Economic outlook and supply chain issues (rising labour and material costs, labour and material availability issues, fuel price) could lead to project delays and/or increases in project cost resulting in projects not being delivered on time or no longer being viable.	Deputy Chief Executive	Finance	<ol style="list-style-type: none"> 1. Capital budget to factor in contingency percentage assuming high rate of inflation. 2. Projects to review and update cost plan in liaison with FBP to reassure viability. 3. Identify and maximise cost savings opportunities including methods of construction, areas for value engineering, etc. 4. Schemes of high sensitivity or high value are carrying out additional cost planned reviews at a higher frequency. 5. Priority projects ranked so that opportunity to address economic issues are understood. 	20	Treat	<ol style="list-style-type: none"> 1. Where shortages are reported, check in with contractors to establish if there is any impact. 2. Exploit all available opportunities for additional funding across the capital programme, including the teams that already have funding resources identified. 3. To report to and update (at least quarterly) Capital Strategy Board on current inflationary impacts to the construction industry and external funding position. 	Same	The capital programme is undergoing and will be reprofiled where appropriate including resources. February update: The team has completed the review of high priority projects and identified opportunities to ease some of the financial pressure to ensure affordability of the capital programme. This includes, reprofiling projects to ease the immediate financial pressures; and removing borrowing where possible, leading to re-scoping of projects.
STR031	Strategic	Customer & Place	Funding of net zero	Inability to raise necessary funding (both internal and external) for the sustainability programme could lead to works not being delivered to the scale required resulting in net zero not being achieved.	Director - Growth	Finance	<ol style="list-style-type: none"> 1. Action Plan in place and all projects being assessed for return on investment – businesses cases prepared where appropriate. 2. Insight and analysis being used to evidence projects and timeline them. 3. Collaboration opportunities being sought where available. 4. Grants and Loans already being used to fund some projects. 	12	Treat	<ol style="list-style-type: none"> 1. Establish effective funding mechanisms to source programme funding, as well as recognise potential funding opportunities, and effectively reinvest project generated income within the portfolio. 2. Work with external partners to identify possible investment/funding streams to support the delivery of our programme. 3. Embed an established position on carbon offsetting within the funding mechanism, ensuring clarity and agreement on shared definitions. 	New	This is a new risk for Q3. Progress to date on this workstream shows: work ongoing to identify possible funding streams and possible opportunities. (both internal and external to the organisation); and the council continues to apply for funding where available and has already had some successes in this area.
STR032	Strategic	Customer & Place	Inspection, legislation and regulatory changes	Government inspection, new legislation and/or changing regulation could lead to staffing and resource pressures resulting in service disruption and financial cost.	Chief Executive	Statutory Duty	<ol style="list-style-type: none"> 1. Lead officers for inspections in relevant service areas e.g. Adults and Children's responsible for planning/preparation. 2. Oversight of inspections (Ofsted/CQC) at Adults and Children's SLT and CMT. 3. Seek to influence policy/legislative change through professional networks (such as ADASS). 4. Keep up-to-date on changes affecting the council through Tri-X horizon scanning. 5. Collaborate with other local authorities to understand changes and respond to government consultations. 6. Review practice and update ways of working to reflect changes. 7. Identify any specific risk to services and manage accordingly. 	6	Treat	<ol style="list-style-type: none"> 1. Continue to plan for inspections and collate evidence as required. 2. Continue to monitor legislative changes and subsequent requirements e.g. Adults and Children's social care reforms, building and fire safety regulations, social housing regulations and allocate resources as necessary to ensure implementation and compliance. 	New	This is a new risk for Q3, following CMT risk review in Q2. CMT requested a new strategic risk be added on inspection, regulation and reform, arising from Ofsted/CQC inspections and new legislation/regulation (such as in housing / building control) which is driving changes (such as new KPIs), diverting staff resources and adding costs. Inspections and legislative changes are managed at directorate/service level and resources allocated, as necessary, to ensure implementation and compliance.
STR015	Strategic	Public Health	Pandemic type disease outbreak	Another wave of Covid-19 infections or the declaration of another pandemic (such as influenza) could lead to severe resource and capacity issues for the council and partner agencies resulting disruption to service delivery and the health and wellbeing of residents.	Chief Executive	Statutory Duty	<ol style="list-style-type: none"> 1. All service areas have a robust response system in place and regularly updated. 2. Performing pandemic preparedness exercise across the council and its partners. 3. Providing Public Health leadership and professional advice for the council's pandemic response. 	8	Tolerate	There are no further actions at this time. The risk has reached its target score and is being tolerated with the existing controls and mitigations in place.	Reduced	SHaW have worked with HR to update the managers guidance for Covid absence recording and risk mitigation measure. The situation is being managed and monitored and this is reflected in the residual risk. The flu vaccination and flu vouchers have been rolled out to staff via flu jabs clinic at the depot and Colindale office. In addition, flu vouchers have been made available for staff to receive jabs at the dedicated chemist.
STR016	Strategic	Public Health	Staff wellbeing and mental health	Changes to staff working arrangements (such as hybrid working) and the psychological effects of the Covid-19 pandemic could lead to a staff disconnect with the organisation and a breakdown of relationships between managers and staff resulting in poor job satisfaction, presenteeism, sickness absence (mental health illness) and staff turnover.	Chief Executive	Staffing & Culture	<p><u>Prevention</u></p> <ol style="list-style-type: none"> 1. Regular information and guidance to staff on working practices such as regular breaks, regular contact and communication, physical exercise, via internal comms and through wellbeing hub. 2. Employee Assistance Programme (EAP) provides advice and guidance on healthy lifestyles including mental health. 3. Wellbeing and mental health training for staff and managers via Organisational Development team. <p><u>Intervention</u></p> <ol style="list-style-type: none"> 4. EAP provides confidential support and counselling for staff. 5. Able Futures is a government scheme providing support on mental health. 6. Mental Health First Aiders provide support to staff and signposting to support. 7. Development of new Workplace Health, Safety and Wellbeing Strategy and action plans. 	9	Treat	<ol style="list-style-type: none"> 1. Ongoing regular review of People policies and processes. 2. Organisational development plan, together with a training and development strategy, to enable managers and employees to work within the new cultural framework of the organisation. 3. Regular engagement with employees through surveys and focus groups. 4. Continuous review of current support offer and resources including metal health services and EAP provision. This includes additional and timely support to managers and staff to enable quicker interventions to resolve issues before they develop. 	Same	Appointed wellbeing officer is in discussion with the organisational development team and the other stakeholders on implementation of the wellbeing strategy. Wellbeing officer has started implementing the wellbeing action plan. The SHaW team continues to review the data (sickness level, type of Employee Assistance Programme (EAP) such as counselling service used, feedback from stress survey) from the EAP and the Occupational Health (OH) provider to track and update the workplace wellbeing programme. Due to recent Israel-Gaza crisis, this has been reflected in the action plan and support provision for staff affected by the events.

New Risk ID	Risk Level	Directorate	Risk Title	Risk Description	Risk Owner Job Title	Primary Risk Category	Controls and Mitigations in Place	Residual Risk - Total	Response Option	Treatment Actions	Direction of Travel (from previous quarter)	Current Quarter Review Summary
STR017	Strategic	Strategy & Resources	Revenue overspend	Central government funding for the council being adversely affected by changes in government policy or budget pressures being higher than anticipated could lead to non-achievement of budget targets and an overspend on the revenue budget resulting in an impact on service provision and / or quality and financial consequences for the council.	Executive Director - Resources	Finance	<ol style="list-style-type: none"> 1. Work towards increasing council tax base properties in the borough to increase Council Tax income and reduce the reliance on government grants. 2. Monthly budget monitoring for both capital and revenue expenditure. Risks and threats are identified early and management implement mitigating actions to offset emerging pressures. 3. Budget setting process validating savings, income generation and forecast pressures at multiple times through a cycle. 4. Engaging with colleagues across London and nationally, sectoral experts and keeping informed from media. 5. Annual scenario planning as part of the MTFS and identification of the key variables, both nationally (e.g. market fragility for adults and children's placements) and locally (e.g. delivery of housing numbers to meet modelled increases in Council Tax base). 	20	Treat	<ol style="list-style-type: none"> 1. Ensure robustness of savings proposals and readiness of the services to be able to deliver them. 2. Lobbying Government. 3. Increase use of insight and modelling and analytics to support budget setting and monitoring against plans. 	Same	Rising demand for services continues to be a financial challenge for the authority, against a backdrop of rising costs faced by care sector providers. In November 2023, new financial controls were introduced across the council to add additional approvals for expenditure on recruitment, overtime, contracts and discretionary spend. The challenging financial position has been communicated across the council through weekly updates, a Breakfast Briefing and Department Roadshows. In addition, some departments have introduced an additional approval layer for certain expenditure.
STR018	Strategic	Strategy & Resources	Funding uncertainty due to reduction in local taxation income	Residents experiencing financial hardship could lead to financial pressures due to a large proportion of council funding coming from council tax and business rates income resulting in a reduction in service quality, non-delivery of the MTFS and use of reserves.	Executive Director - Resources	Finance	<ol style="list-style-type: none"> 1. Analysis of monthly collection performance; analysis of Housing Benefit and Council Tax Support awards and claims to provide early warning signs of pressures. 2. Maintaining a specified level of balance within the council's resilience reserve in addition to appropriate contingency balances to mitigate any in year pressures. 3. Undertake forward planning, regularly updating budget assumptions and monitoring the government's fiscal announcements. However, also maintain flexibility within existing plans to stem expenditure in non-frontline services whilst long term plans are being put into place; maintain good contacts with the government to remain as informed as possible. 4. Investment being made with local businesses and working with the community to raise awareness of and increase support available. 	12	Treat	<ol style="list-style-type: none"> 1. Impacts on Council Tax and Business Rates being closely monitored with Capita colleagues. 2. Forecast impacts included in reporting to CMT and Cabinet. 3. Impacts on bad debt being closely monitored and reported. 4. Setting of a financial strategy which incorporates the intelligence from the above actions and sets an MTFS which lives within the organisation's anticipated income levels. 5. Resident Support Fund in place alongside extended Household Support Fund to support through financial vulnerability during Cost of Living Crisis. The impact of this will be monitored throughout the financial year. 	Same	Impacts of local taxation and bad debt continue to be monitored and reported as planned. A forecast of Council Tax and Business Rates income will be prepared at Month 9 2023/24 which will feed into the Medium Term Financial Strategy (MTFS) process for 2024/25 onwards. Work is also underway to maximise debt recovery of outstanding local taxation debt.
STR019	Strategic	Strategy & Resources	Internal controls	Ineffective financial management and control could lead to the council not ensuring appropriate administration of public funds resulting in possible financial losses.	Executive Director - Resources	Finance	<ol style="list-style-type: none"> 1. A review of financial forecasts, and challenges where necessary, occurs on a monthly basis by Finance Business Partners. 2. Regular, in depth reporting is considered by Council Management Team, Cabinet and Governance, Audit, Risk Management and Standards Committee (GARMS) . 3. Mitigating actions to contain overspends are identified, implemented and tracked for delivery. 4. Achievement of savings tracked and alternative actions identified where not achievable alongside review of reasons for non-achievement and whether it is a delay or non-delivery. 5. Budget holder training is available through the LMS as an additional offer beyond that found on the intranet. 6. Finance Business Partners constantly upskill budget holders to deliver sound Financial Management and understand that their budgets reflect their plans in £ format. 7. An annual, at minimum, review against the CIPFA Financial Management Code and CIPFA Financial Resilience Index is undertaken and reported to GARMS in line with the Annual Governance Statement. 8. Additional internal controls have been implemented and audit reports found increased assurance and improvements in Finance from 2019 to date. 9. A contingency budget is held centrally for any unmanageable, unforeseen pressures. 	6	Tolerate	<p>There are no further actions at this time. The risk has reached its target score and is being tolerated with the existing controls and mitigations in place. However, keeping a watching brief by:</p> <ol style="list-style-type: none"> 1. Reviewing impact of savings not achieved (currently we are delivering above 85%); 2. Reviewing budget forecast on a monthly basis and review effectiveness of engagement with services. 	Same	The Financial Sustainability Board (FSB) continues to assess financial risk and recovery/mitigation routes. Service led (Adults and Family Services) boards have now 'spun out' of the original FSB, which are being held on a monthly basis. There is also now a link to the Transformation Programme for improved financial sustainability.
STR020	Strategic	Strategy & Resources	New burdens	New burdens, additional demand and/or inadequate funding for additional services could lead to additional and unforeseen budget pressures, resulting in the need to increase or divert resource, reduction in service quality, ability to deliver key services effectively and / or having to use reserves.	Executive Director - Resources	Finance	<ol style="list-style-type: none"> 1. Engaging with colleagues across London and nationally to form lobbying positions. 2. Engaging with sectoral experts and keeping informed from media. 3. Monthly monitoring of budgets and scrutiny of any overspend / increase in demand. 4. Providing evidence of unintended consequences of policy and statute to Central Government to support lobbying positions around new burdens. 	9	Treat	<ol style="list-style-type: none"> 1. Lobbying and pressing government for clarity on the outlook to allow sufficient time to plan how we manage the impact. 2. Responding to all consultations both individually and collectively through London Councils / Society of London Treasurers. 3. Inception of a financial sustainability board which includes executive directors and service managers reviewing current financial pressures. Meet monthly to discuss mitigations and future direction. 	Same	The council has identified actions to mitigate some of the forecast overspend for 2023/24 as detailed in the report presented to Overview & Scrutiny on 21 November 2023. In addition, the council is working with the Local Government Association: including peer support in Adults Social Care; has representation on regional forums including London Councils, the Association of Directors of Childrens Services, the Association of Directors of Adult Social Services; reviewing its Capital programme to reduce the revenue impact of funding; and has introduced spend controls across the council.
STR021	Strategic	Strategy & Resources	Increase in the North London Waste Authority (NLWA) levy	The expected replacement of the NLWA Energy from Waste (EFW) facility (expected 2026) could lead to an increase in the NLWA waste disposal/treatment levy of potentially up to £9 million per annum and any additional financial cost relating to delays in the construction of the Energy Recovery Facility (ERF) resulting in an increased financial pressure on the council.	Executive Director - Resources	Finance	<ol style="list-style-type: none"> 1. Active engagement through officers and NLWA Members. 2. NLWA, along with the Borough Finance Directors, is developing a long-term financing strategy to provide long-term certainty for Boroughs. 3. The ERF represents the most cost-effective way to dispose of LB Barnet's waste. NLWA has secured borrowing at historically low interest rates and manage the financing to ensure future borrowing will be obtained at best value. Future borrowing details will be shared with LB Barnet. 4. LB Barnet benefits from NLWA's efficient operating model, through engagement of their own operating company London Energy Ltd, regular reporting and openness to challenge from members and Boroughs. 5. NLWA have in place a strong client team delivering the EcoPark facilities including the ERF for the benefit of LB Barnet residents. As new facilities at the EcoPark are developed the operating and maintenance costs will be reviewed and shared with LB Barnet. 6. Ongoing analysis of waste data flows. 7. NLWA runs campaigns and raises awareness on waste reduction and recycling. 	6	Tolerate	<p>There are no further actions at this time. The risk has reached its target score and is being tolerated with the existing controls and mitigations in place.</p>	Same	<p><u>Levy:</u> North London Waste Authority (NLWA) acutely understands the importance of providing value for money for LB Barnet and have produced a long-term levy forecast and they continue to monitor cost for Boroughs and communicate changes.</p> <p><u>Energy Recovery Facility:</u> Work is progressing at the Eco Park Site. Members and Officers are provided with regular updates on the progress of the project. As the project nears completion, there is more cost certainty and therefore the impact on the levy. However, NLWA is now reviewing repairs and maintenance budget factored in and that may have an adverse impact but discussions are ongoing and there is enough lead in time to be able to influence the authority and factor into future budgets.</p>
STR030	Strategic	Strategy & Resources	Oracle implementation	Poor implementation or failure to implement the new system on time could lead to a lack of available financial and HR system resulting in inability to carry out financial transactions and disruption to the organisation.	Executive Director - Resources	Business Continuity	<ol style="list-style-type: none"> 1. Current contract with Integra and Core HR in place until September 2024 and option available to extend beyond this if required. 2. Robust governance structure in place - monthly Programme Steering Board with Oracle and system implementor in attendance and weekly meeting with SRO. 3. Phased go live and Payroll not in scope for 1 April 2024. 4. Vast experience of previous successful implementations across the programme team including lessons learnt. 	12	Treat	<ol style="list-style-type: none"> 1. Weekly review and scrutiny from Exec Sponsor and SRO to ensure programme is on track 	Same	The weekly review meeting with the Programme Sponsor and the SRO are underway, close monitoring is proving effective and has helped unlock some key issues in getting required data in a timely fashion. The readiness of the organisation to accept the associated change is being managed by a thorough change programme with good engagement from key stakeholders, including senior managers. The programme is currently on time and forecasting to spend within budget.
STR023	Strategic	Strategy & Resources	Recruitment to and retention of roles in key sectors	National and local difficulties in recruiting to key roles could lead to local recruitment and retention issues resulting in a failure to meet statutory duties, council priorities and workforce and financial pressures.	Chief Executive	Staffing & Culture	<ol style="list-style-type: none"> 1. Improved staff engagement. 2. Continued promotion of flexible workstyles. 3. Development of stronger employer brand, promoting benefits of working for Barnet. 4. Effective recruitment processes. 5. Increased capacity in Recruitment Team. 6. Tailored campaign to recruit and retain children's social workers. 7. Targeted campaigns to fill technical roles in Customer and Place. 8. Use of Recruitment & Retention payments where appropriate. 9. Strengthened employee benefits offer through Vivup platform. 10. EDI Action plan. 	16	Treat	<ol style="list-style-type: none"> 1. Changes to pay structure to allow council to better match external market. 2. Ongoing promotion of EDI agenda to ensure that all talent can progress through the organisation. 3. HR/Recruitment engagement with Capita and incoming staff to identify vacancies being transferred over and priority areas for recruitment and retention interventions. 4. Additional enhancement of various benefits (e.g. parental leave) through ongoing review of Unified Reward. 	Same	Meetings between HR and trade unions are taking place and progress is being made on a number of issues surrounding Unified Reward. The labour market appears to have broadly stabilised, although the risk of recession and funding difficulties within local government do mean that employers could be refraining from creating additional roles.
STR026	Strategic	Strategy & Resources	Delivery of corporate plan priorities	Financial and growing service pressures could lead to delays or non-delivery of corporate plan priorities resulting in poorer outcomes for residents and dissatisfaction with the council.	Chief Executive	Staffing & Culture	<ol style="list-style-type: none"> 1. Our Plan was agreed in March 2023 alongside a Transformation Programme and regular workstream boards. 2. A Cabinet structure has been set up which allows for more cross-cutting work, oversight and in turn reduces administrative burden. 3. Weekly CMT/Cabinet Policy Development meeting which will review service delivery and council priorities on a regular basis. 4. New financial controls have been introduced since November, the budget position has been communicated across the council and regular in-depth reporting on the budget is ongoing. 	9	Treat	<p>Introducing new:</p> <ol style="list-style-type: none"> 1. Weekly CMT/Cabinet meetings. 2. Weekly catch-ups with political adviser on forward plan. 3. Co-producing and early direction setting by Cabinet. 4. Ongoing reporting and scrutiny on the budget and alignment to council priorities. 	Same	Transformation Steering Group meetings have now collapsed into weekly Cabinet/CMT Policy Development meetings where early discussions around priorities are had. There is ongoing work to ensure our financial position does not impact council priorities.
STR011	Strategic	Strategy & Resources	Reduction in capacity of VCS (Barnet Together)	Funding and sustainability challenges facing the Voluntary and Community Sector (Barnet Together) could lead to a reduction in capacity and growth of preventative services, resulting in difficulties accessing services and demand for more complex support, especially for residents in hardship.	Executive Director - Resources	Business Continuity	<ol style="list-style-type: none"> 1. Ongoing funding identified for an enhanced Barnet Together Voluntary Community Sector (VCS) infrastructure alliance to enable greater support for frontline VCS organisations. Confirmed on an annual basis through budget cycle. 2. A new Memorandum of Understanding has been developed and deliverables for 2023/24 are to be agreed for the Barnet Together Alliance. 3. Quarterly meetings have been established with Cabinet lead to monitor progress of Barnet Together delivery. 	8	Treat	<ol style="list-style-type: none"> 1. Long term budget allocation provides certainty to Barnet Together in planning. 2. Commitment to provide as much early notice as possible of any change in budget allocations thereby allowing Barnet Together time to adapt. 3. Review and refresh of Memorandum of Understanding required to ensure alignment to corporate plan and council priorities. 4. Establish priorities and deliverables for 2024/25 in line with council priorities. 	Same	Due to budget controls, we have asked Barnet Together partners to identify savings from the funding provided by the council. This will result in a reduction in budget and the loss of one post but does not have a significant impact on their ability to meet the delivery expectations. Nevertheless we need to undertake a review of deliverables for 2024/25 to be sure we are all clear on expectations. We also need to develop the actions 3 -6.

New Risk ID	Risk Level	Directorate	Risk Title	Risk Description	Risk Owner Job Title	Primary Risk Category	Controls and Mitigations in Place	Residual Risk - Total	Response Option	Treatment Actions	Direction of Travel (from previous quarter)	Current Quarter Review Summary
STR033	Strategic	Strategy & Resources	Local industrial action	Complications in local employee relations, around recruitment/ retention payments or associated issues could lead to industrial action resulting in disruption to one or more services.	Chief Executive	Staffing & Culture	<ol style="list-style-type: none"> 1. HR ensuring that we have good relationships with trade unions locally. 2. HR engaging with trade union representatives and identifying pressure points. 3. HR monitoring external labour market to ensure competitive remuneration. 4. HR devising improvements to grading structure and engaging in relevant negotiations with trade unions. 5. HR working with management in potentially affected services (e.g. Street Scene, Adult Social Care) and Assurance colleagues to support business continuity and resilience. 	12	Treat	<ol style="list-style-type: none"> 1. Streamlining of grading structure, reducing overlaps and increasing competitiveness of pay for lower-graded roles. 2. Supporting management in the creation of business continuity plans. 3. Engaging with HR colleagues across, and beyond, London in order to keep abreast of developments in industrial relations within local government. 	New	Agreement in principle reached with trade unions around changes to grading structure affecting grades A to E (inclusive). Work has commenced to review the rest of the structure up to Grade M. R&R payments are being reviewed in higher-risk areas (Adult Social Care and Street Scene primarily). Risk score at a 12 to reflect the ongoing strike action by Mental Health social workers.