

Appendix J: Corporate Risk Register (Quarter 3 2016/17)

Strategic risk register

(sorted by Nature of Risk and Residual Risk Score)

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk <i>(without controls)</i>		Residual Risk <i>(with controls in place)</i>			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Business Continuity												
STR01 1	Impact of change in policies	If there is a change in policies or in priorities across the Council / for specific Committees, this would result in increased workloads across the council associated with reworking of strategies, impacting on finances and ability to operate within budget	Chief Executive	Business Continuity	Decisions are made in accordance with legal advice, and the Council undertakes forward planning at the corporate level. The risk to the budget is controlled by the MTFS and business planning process, and members are fully engaged. A draft budget for 2017/18 is out for public consultation, and has been updated to reflect the Local Government Finance Settlement. Briefings have been sent to all councillors and senior management.	4	3	4	3	12	Same	Tolerate
STR01 3	Effective response to internal and external changes (political and economic)	Due to the complex nature of services provided, demographic changes and macroeconomic changes, the Council may be unable to effectively respond in an agile way to internal and external changes (political and economic) resulting in not being able to deliver organisational objectives, financial impact and reputational damage	Chief Executive	Business Continuity	The Council undertakes forward planning at the corporate level, as well as business planning. The corporate risk management framework and audit process also control this risk.	5	4	5	2	10	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR002	Capacity for business continuity responsiveness	If there is insufficient resource or capability to deal with crisis, such as those involving critical local infrastructure, and insufficient testing of Business Continuity Plans / incident response plans, the Council may be unable to respond effectively in the event of a crisis resulting in financial loss, disruption to services, resident dissatisfaction and reputational damage	Chief Operating Officer	Business Continuity	The Council has a corporate Business Continuity Strategy and Plan, and we maintain a network of business continuity leads, with quarterly meetings on this subject. We carry out bi-annual desktop tests, including live reporting. Plans are in development to test our arrangements through live scenarios.	4	5	4	2	8	Same	Treat
Financial												
STR003	Delivery of transformation programmes	If there are challenges with resource recruitment, changes in market conditions, changes in political decisions, change resistance, poor project management, budgetary management and engagement (staff and residents), this could lead to failure to deliver major transformation programmes, specifically Brent Cross, Mill Hill depot, Colindale office relocation, Street Scene Alternative Delivery Model (ADM), Adults & Communities ADM, Libraries programme and Social Care Practice Improvement and failure to maintain a balanced budget over the MTFS period resulting in resident dissatisfaction, disruption to services, financial loss, and reputational damage	Chief Executive	Financial	We have clear leadership in place through our Commissioning Directors, and the decision-making process is well understood. The Council has a well-established project management methodology and projects are regularly audited against this standard. Our governance structure is set up to support delivery, with member challenge. Our annual finance and business planning processes also support this.	5	4	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR004	In year budget reduction	The uncertainty and therefore lack of clarity on impact of changes in the national and regional political landscape, legislative changes and local government funding changes (e.g. lack of new funding for pressures in Adult Social Care and business rates localisation) that affect LBB services could lead to further reduction of the in-year budget resulting in non-achievement of MTFS target, reduction in service quality, resident dissatisfaction, deterioration of services, use of reserves and reputational damage. This could also have an impact on the existing overspend by increasing it.	Chief Executive	Financial	We have some contingency and reserves in place to mitigate the short term impact. We undertake forward planning, regularly updating our budget assumptions and monitoring the Government's fiscal announcements. However, we also maintain flexibility within existing plans to instigate recruitment freezes in non-front line services whilst long term plans are being put into place. We also maintain good contacts with central Government, to remain as informed as possible.	5	4	5	3	15	Same	Tolerate
STR005	Growth assumptions in the budgets	Due to a predication of contracts on income and a strategy that is increasingly focused on income, failure to deliver key transformation programmes and / or a fall in income would result in growth assumptions in the budget not materialising, causing potential failure of contracts and partners pulling out, and deterioration of the Council's financial position	Chief Executive	Financial	We have prudent contingency and reserves in place. We undertake forward planning, regularly updating our budget assumptions and monitoring the Government's fiscal announcements. We also maintain good contacts with central Government, to remain as informed as possible.	5	4	5	3	15	Same	Tolerate

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR010	Potential Fraud, bribery or corruption incident	If there are ineffective internal controls, governance arrangements, and neither fit for purpose nor adhered to policies and procedures, this could lead to the Council being unable to prevent an incident of organised or high value fraud, bribery or corruption resulting in loss of revenue, cost to the business (disposal and prosecution), staffing issues and reputational damage	Section 151 Officer	Financial	<p>The Council observes financial regulations, internal controls and standing orders, and contract procedure rules. There is a counter-fraud framework, including a whistleblowing policy. The Council also has an employee code of conduct, which includes a gifts and hospitality policy, and other HR Policies are in place. There is oversight by the Audit Committee, a dedicated fully qualified independent fraud team (CAFT), and an internal audit team.</p> <p>The CAFT have a risk-based joint work plan (with Internal Audit) and also conduct proactive fraud drives and also the Fraud Awareness Programme and advice. CAFT conduct Fraud Risk Assessments and Data Matching initiatives (such as the National Fraud Initiative) in high fraud risk areas. They are able to respond to referrals of fraud and investigate them through to the appropriate outcome. They work closely with HR where internal fraud also raises disciplinary issues and also are the only authorised team to conduct financial investigations on behalf of the council under Proceeds of Crime Act.</p>	4	4	3	3	9	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Health & Safety												
STR012	Potential Health & Safety incident or negative impact on wellbeing of Barnet employees, Members and members of the public	If health & safety / compliance policies & procedures are not sufficiently developed, tested or adhered to by officers, Members or the Council's contractors, this could lead to an incident resulting in harm to Barnet employees/council members/members of the public, legal challenge and reputational damage	Chief Executive	Health & Safety	H&S policies and processes around managing compliance are in place (available on the intranet), and the five civic buildings are being managed effectively. There are plans to identify gaps for other council stock (though these are not yet implemented). Training is undertaken so staff can find the right information, with some advertising on the intranet, and first team messaging to staff. Leaflets are distributed among the workforce. We have a web-based portal for referrals, with HR leading on some of these. There is a "split" service, allowing access to additional H&S advice available as required, but alongside Barnet-based staff with H&S knowledge of local issues carrying out monitoring activities (including H&S audits and inspections) as well as a statutory officer in place. We have systems to collect information on incidents, and undertake regular H&S audits and reports to senior officers and Committees.	4	3	4	3	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk <i>(without controls)</i>		Residual Risk <i>(with controls in place)</i>			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Staffing & Culture												
STR001	Sufficient skilled and exper-ienced resources in the market-place	If there is a challenging recruitment market that impacts the ability to recruit and retain the right staff with the right skills, and causes a lack of stability of senior management, this could lead to limitations in the competency and capability of the workforce to deliver statutory responsibilities and / or corporate objectives resulting in potential legal challenge, impact on financial targets - savings and income, reduced service to residents, reduced residents satisfaction, loss of corporate memory and reputational damage	Chief Operating Officer	Staffing & Culture	There is a new unified reward package, focused on improving the offer to the market. We are building the Council's reputation externally, and have a tailored recruitment programme in place, as well as a graduate and apprentice programme. Our "The Way We Work" programme includes new offices in Colindale, and we are overall making Barnet a better place to work.	4	4	4	3	12	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Statutory Duty												
STR007	Significant safe-guarding incident	If Council services and partners do not effectively manage their relevant safeguarding risks, this could lead to a safeguarding incident resulting in potential harm to individuals and/or families, potential legal challenge, resident dissatisfaction, public scrutiny	Chief Executive	Statutory Duty	<p>Children: elements of the Practice Improvement Plan have been implemented, including training. We also have a supervision policy and practice standards, and undertake quality assurance activity.</p> <p>We adhere to pan-London safeguarding procedures and processes, and ensure scrutiny and oversight of safeguarding via assurance reports to the lead member, SCB Assurance, Barnet Safeguarding Board, and the Social Work Improvement Board</p> <p>Adults: adherence to the multi-agency pan London safeguarding adults procedures. Training programme. Supervision policy and practice standards. Quality assurance programme in place including case audit, supervision audit, performance monitoring. Assurance reports to SCB Assurance, Barnet Safeguarding Adults board and PQA sub-group; also to Adults committee and HWB annually.</p>	5	5	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR006	Complexity of partnership working in the Borough	Differences of geographical footprint and governance structures of key strategic partners (e.g. NHS, NLWA) exacerbated by any changes in leadership may lead to conflicting priorities between partner agencies, including in the use of critical local infrastructure, resulting in non-achievement of targets, increased risk of safeguarding incidents, resident dissatisfaction, ineffective allocation of resources and reputational damage	Chief Executive	Statutory Duty	We maintain good relationships with strategic partners, and have aligned our strategic plans where possible. We also hold regular update meetings with these partners, and members and senior officers are represented on key strategic boards.	4	4	4	3	12	Same	Treat
STR008	Challenge to the decision-making process	If due diligence, local views, obligations or strength of residents' views are not properly considered by any part of the organisation (retained or commissioned) as part of decision-making for changes to services, this may lead to challenges to the decision-making process resulting in legal challenge, judicial review of process, implications for officers and Members, and reputational damage	Chief Executive	Statutory Duty	Corporate advice and guidance on decision-making are in place, with a clearance process. Senior officers and members have oversight of decisions	5	4	5	2	10	Same	Tolerate

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR016	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.	Director of Children's Services	Statutory Duty	<p>A joint motion by Councillors to Full Council in November 2015 resulted in the Barnet Care Leavers Pledge. The Child in Care council has been refreshed and the advocacy service is active across Family Services. A Child in Care improvement plan is being implemented. The Virtual School has invested in a strong structure and resources are targeted to improve outcomes, including through the PEP process.</p> <p>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</p>	4	4	3	3	9	New	Treat
STR009	Contract management and clienting of contracts	If commercial and commissioning roles & responsibilities are not clearly defined and realisable or understood by officers and Members, and / or there are inadequate finance controls, this may lead to ineffective contract management & clienting, resulting in delivery of poor level of service, inappropriate decision-making weakening the negotiating position, and financial loss/overspend	Chief Executive	Statutory Duty	We have a contract management framework, with policy and procedures in place for commercial and commissioning activity. The Council's Commercial Team oversee this work, with SROs. We undertake contract monitoring, and members have oversight through the Performance and Contract Monitoring Committee and the Audit Committee. Opportunities for improving this work have been highlighted through the CSG contract review.	4	4	4	2	8	Reduced	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR014	Implementation of Elections reviews	If the Heath Review & the Smith Review into Barnet's election processes & procedures are not implemented, this could lead to an inability to deliver elections in compliance with national legislation and statutory guidance successful challenge of election results, loss of confidence in the electoral function, and the requirement to re-run election and associated financial consequences and reputational damage	Chief Executive as the Returning Officer	Statutory Duty	The recommendations of the Heath review have been implemented. The independent Smith review, a wider electoral services review, was completed in November and presented at the November General Functions Committee. In summary, Dr Smith's review found that the Electoral Registration and Elections Services in Barnet has strong and effective professional knowledge and experience and is compliant with both the law and Electoral Commission guidance, but that there are areas in which the services can be challenged to perform at a higher level and achieve beyond compliance. Dr Smith's report proposed 16 recommendations for Barnet's Electoral Registration and Elections services. These recommendations were all accepted by the Council and the Returning Officer and initial responses were presented with further work for full implementation of the review's recommendations within 2017.	4	4	4	2	8	Reduced	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
STR015	Effective running of the democratic process	If there was an inability to deliver elections in compliance with national legislation and statutory guidance, due to poor processes or inadequate resources (finance, people, accommodation etc.), it could lead to the successful challenge of election results, loss of confidence in the electoral function, and the requirement to re-run election and associated financial consequences and reputational damage	Chief Executive as the Returning Officer	Statutory Duty	Monthly election meetings are chaired by the Returning Officer (CEO) to track progress and issues, and the recommendations of the Heath review have been implemented. An action plan is being developed to ensure implementation of wider recommendations from the Smith review within reasonable timescale.	4	4	4	2	8	Same	Treat

Escalated service risks (scoring 15 and above)

(sorted by Delivery Unit, then Nature of Risk and Residual Risk Score)

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk <i>(without controls)</i>		Residual Risk <i>(with controls in place)</i>			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Adults & Communities												
AC002	Failure of care provider	A care provider could suddenly be unable to deliver services, due to: - provider going into administration - failure of regulatory inspection relating to quality of service - care provider chooses not to deliver services - HS&E breach leading to operational disruption to manage the situation, harm to individuals by not having their care and support needs met, unexpected financial consequences, breach of statutory duty,	Head of Integrated Care Quality	Business Continuity	<p>For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers.</p> <p>The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.</p> <p>A regular report setting out provider risks and concerns is circulated to the DASS and to the DU's Leadership team on a monthly basis and discussed through the regular DASS assurance meeting.</p>	5	5	5	4	20	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC001	Increased overspend to meet statutory duties	Adults & Communities Delivery Unit could have insufficient resources to meet its statutory duties due to operating in an environment in which there is inherent uncertainty in future demand for services, exacerbated by a potential inability to deliver savings, reduced ability to raise income from clients, the rising cost of care, other in year financial pressures due to unexpected demand, the increasing complexity and cost of care packages, and legislative changes. This could result in harm to individuals, legal challenge, worsening budget overspend, and reputational damage.	Adults and Communities Director	Statutory Duty	<p>The Council's budget management process (MTFS) forecasts demographic growth and pressures over a 3 year period. Budget and performance monitoring and management controls are used throughout the year. Work to reduce addressable spend (such as expenditure on agency staff) is being carried out in year.</p> <p>The Joint Strategic Needs Assessment will identify future demand pressures, and the Council will undertake initiatives focused on reducing and managing future demand in response, including the Adults' New Operating Model/ Alternative Delivery Vehicle which focus on reducing demand for services and finding more creative ways to manage complex need.</p>	5	5	5	4	20	Same	Treat
AC003	Unacceptable level of quality services provided by care providers	Unacceptable levels of quality of services provided by care provider could lead to additional dedicated Barnet resource needing to be put in place to address the situation, resulting in reduced ability to manage BAU, financial consequences. If the additional resource is not able to address the underperformance of the care provider, this could also lead to harm to individuals, reputational consequences	Head of Integrated Care Quality	Statutory Duty	<p>For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers.</p> <p>The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.</p>	4	5	4	4	16	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC004	Surge in demand from NHS	An unpredictable surge in demand from the NHS in situations where there is limited capacity could lead to the DU being unable to meet this demand within the NHS's required timescales. This could result in financial consequences, operational disruption leading to rushed decisions being made that have unintended negative consequences, potentially for individuals that have been discharged, and increased central government scrutiny.	Assistant Director Adult Social Care	Statutory Duty	System-wide resilience monies have been made available and these can be used to buy in extra capacity, subject to agreement by the NHS-led Improvement Board. There are monthly system resilience and operational resilience meetings between LBB, CCG and NHS Provider Trusts to discuss & manage pressures in the system, and to deliver action plans. Daily conference calls are in place to deal jointly with events as these happen.	4	5	3	5	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC008	Non-adherence to safeguarding policies and procedures	Staff non-adherence to policies and procedures (specifically safeguarding within the Care Act, and London-wide safeguarding policies and procedures), resulting in death or serious harm to individuals, legal challenge, financial loss, decreasing staff morale due to greater pressure and reputational damage.	Head of Safeguarding Adults	Statutory Duty	<p>Staff are required to undertake CPD of 5 days training & development per year, supported by practice forums. Quality assurance framework, led by the Quality Board, monitors supervision. Regular case file audits take place (using a pool of auditors from across the Department). Monthly reporting to leadership team on safeguarding activity. Monthly quality and safeguarding meeting with DASS includes review of high risk cases. External case file audits are conducted.</p> <p>The Safeguarding Adults Board (multi-agency) meets regularly. Tools are available to support practitioners (e.g. recording templates, assessment tools etc.), as well as learning processes such as safeguarding adult reviews (SARs) and the domestic homicide review process.</p> <p>Social workers are required to maintain professional standards for statutory registration with HCPC.</p> <p>Staff are supported and supervised by a senior social worker/ team manager in accordance with policy; in addition supervision, advice and guidance is provided from the Head of Safeguarding and specialist Safeguarding Team.</p>	5	4	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
AC011	Breach of mental capacity act or code of practice	Insufficient experienced staff and non-adherence to policies and procedures (permanent and agency, at all levels) to meet rising demand and complexity could lead to breach of the Mental Capacity Act or Code of Practice, resulting in Barnet not acting in someone's best interest (Mental Capacity Act), and as a result serious harm to individuals and/or the ongoing impact of such a breach on an individual's life; legal challenge, financial loss (legal costs) and reputational damage.	Assistant Director Social Care	Statutory Duty	<p>As with safeguarding issues, staff training is in place, supported by practice forums. Quality assurance framework, led by the Quality Board, monitors supervision (and responds to, for example, supervision and other quality audits). Regular case file audits take place (using a pool of auditors from across the Department).</p> <p>Monthly reporting to leadership team on safeguarding activity Monthly quality and safeguarding meeting with DASS includes review of high risk cases. External case file audits are conducted. The Safeguarding Adults Board (multi-agency) meets regularly.</p> <p>Tools are available to support practitioners (e.g. recording templates, assessment tools etc.), as well as learning processes such as safeguarding adult reviews (SARs) and the domestic homicide review process.</p>	5	4	5	3	15	New	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk <i>(without controls)</i>		Residual Risk <i>(with controls in place)</i>			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Barnet homes												
TBG001	Unviable cost of development scheme	The Barnet Group are unable to deliver the portfolio of housing development schemes at a viable cost due to: - external factors (change of legislation, economic, confidence in the market, availability of finance) - recruitment and retention of skilled individuals within the development team - viability of house design - planning permission which results in the termination of the scheme, financial impact across Council and Barnet Group (impact on staffing and sunk costs), reputational damage, knock on effect on ability to deliver the homelessness agenda	Strategic Lead Housing	Financial	Membership of professional bodies provides access to market intelligence. We undertake sensitivity analysis/stress testing of the financial business plan, with external support. There is a permanent team in place with relevant skills, and professional support from a team of advisors. TBG's governance structure, and reporting and to the senior leadership of the council and project boards, also contributes. Upfront work is undertaken with RE to ensure schemes are viable (e.g. planning), and there are upfront surveys of sites. There is also a stakeholder engagement plan, the council's project management toolkit, and council resource in place to support TBG. The council has agreed to use RTB receipts to help fund the scheme. Finally, there is an agreed procurement strategy	5	4	5	3	15	Same	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk <i>(without controls)</i>		Residual Risk <i>(with controls in place)</i>			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Customer Support Group (CSG)												
CSG13	IT service obsolescence	Inability of current infrastructure to handle multiple service applications due to portfolio of systems not being managed properly, with many approaching end-of-life, resulting in outdated and unusable systems, poor-performing systems and potential security breaches	Head of Information Management	Business Continuity	Network design is validated through Public Services Network certification and Capita third party assurance. Dedicated infrastructure staff within Capita are focused on the control of the Barnet infrastructure. Capacity checks on wireless network are currently taking place to increase speed and resilience.	4	5	4	4	16	Reduced	Treat
CSG12	IT service failure	Poor or non-maintenance by supplier of IT infrastructure, network services and applications at desired levels of speed resilience and security due to mismanagement and/or inadequate technical specification, leads to an IT service failure resulting in loss of critical service provision and associated ability to provide service continuity with accompanying reputational damage and cost to remedy (and potential litigation in event of breach of statutory obligations)	Head of Information Management	Business Continuity	To address this risk, we have a validated network design and dedicated infrastructure staff. Network design is validated through Public Services Network certification and Capita third party assurance. Dedicated infrastructure staff within Capita are focused on the control of the Barnet infrastructure. Capacity checks on wireless network are currently taking place to increase speed and resilience.	5	4	5	3	15	Reduced	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls in place	Inherent Risk <i>(without controls)</i>		Residual Risk <i>(with controls in place)</i>			Direction of Travel	Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score		
Family Services												
FS004	Serious gang-related incident	As a result of inappropriate decision making, which could be exacerbated by a lack of timely access to information, a gang and serious youth violence related incident could occur involving one or more young people within the borough resulting in a child death and reputational damage.	Asst. Director, Social Care	Health & Safety	Our Gangs and Serious Youth Violence Strategy is overseen by the Community Safety Partnership Board and Youth Offending Partnership Board. We also have a gangs operational group, and a gangs, missing and child sexual exploitation strategic group.	5	5	4	4	16	Same	Treat
					Our gangs operational protocol and screening tool helps control this risk, as well as the Keeping Young People Safe preventative project.							
					A new multi-disciplinary team is being established to deliver intensive, wraparound interventions for high risk adolescents.							
FS001	Significant child safe-guarding incident	Inappropriate response or poor decision-making around a case leads to a significant children's safeguarding incident, resulting in increased risk of significant harm or death of a child, and reputational damage.	Asst. Director, Social Care	Statutory Duty	Elements of the Practice Improvement Plan have been implemented (including training). Delivery of the plan is monitored regularly and overseen by a Board chaired by the Chief Executive.	5	5	4	4	16	Same	Treat
					Supervision and practice standards help to control this risk, as well as quality assurance activity.							
					We provide assurance reports to the lead member, SCB Assurance, Barnet Safeguarding Board, and the Social Work Improvement Board, to ensure scrutiny and oversight. The lead member meets monthly with service leads to provide oversight.							

Key

IMPACT	Score:		LIKELIHOOD				
			1	2	3	4	5
			Rare	Unlikely	Possible	Likely	Almost Certain
	5	Catastrophic	Moderate	Medium / High	High	High	High
	4	Major	Moderate	Medium / High	Medium / High	High	High
	3	Moderate	Low	Moderate	Medium / High	Medium / High	High
	2	Minor	Low	Moderate	Moderate	Medium / High	Medium / High
	1	Negligible	Low	Low	Low	Moderate	Moderate

Treat	Implement controls and/or mitigations
Terminate	Avoid the activity that gives rise to the risk
Tolerate	Take the risk
Transfer	Outsource the activity; purchase insurance